DEPARTMENT OF THE NAVY Canc frp: Mar 02

NAVAL RESERVE READINESS COMMAND NORTHWEST
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EVERETT, WA 98207-2600

NAVRESREDCOMNWNOTE 5041
N3/7
14 Mar 01

NAVRESREDCOM NORTHWEST NOTICE 5041

Subj: COMMAND ASSESSMENT GUIDE

Ref: (a) COMNAVSURFRESFORNOTE 5041 of 13 Apr 00
        (b) NAVRESREDCOMREG22INST 5040.1N

Encl: (1) Naval Reserve Readiness Command Northwest Command
            Assessment Guide

1. _Purpose_. To issue the Naval Reserve Readiness Command
Northwest (NAVRESREDCOM NW) Command Assessment Guide, enclosure
(1), per references (a) and (b).

2. _Cancellation_. NAVRESREDCOMREG22INST G5041.1A and
NAVRESREDCOMNWINST G5041.1B.

3. _Applicability_. Enclosure (1) will be used for assessments of
Echelon V Naval Surface Reserve activities within NAVRESREDCOM
NW. This guide is intended to assist in the evaluation of
activity mission effectiveness and the degree of compliance with
governing directives relating to the Naval Reserve Activity (NRA)
and the training and administrative support of assigned Reserve
units and personnel, including Full-Time Support (FTS). Frequent
and routine site visits, use of information technology, and
innovative leadership will also be utilized to monitor
subordinate activities. Assessments of each NRA in NAVRESREDCOM
NW will be conducted every three years per references (a) and
(b).

4. _Discussion_

    a. _General_. The assessment philosophy is one of a quality-
based assessment, which focuses on continuous improvement of
mission-critical processes. The process consists of a
comprehensive self-assessment performed by the NRA followed by an
on-site visit by members of the NAVRESREDCOM NW staff, and the
distribution and collection of two customer service/satisfaction
surveys to Reserve units supported by the NRA and their gaining
commands.

    b. _Assessment Philosophy_. The assessment philosophy
rewards three principles: integrity, individual and team
professionalism, and involvement. The approach to the assessment
is one of "educate, don't regulate." This allows for the

assessment to be used primarily as a training opportunity rather than a traditional assessment. Commands that are doing well receive positive reinforcement. Commands which need assistance are provided the necessary guidance and feedback. Additionally, working relationships are improved through the opportunity to meet face-to-face, the increased awareness of requirements on subordinate NRAs, and an opportunity for the NAVRESREDCOM NW staff to learn more about subordinate commands.

    c. Assessment Guide. The Assessment Guide is tied to the assessment process but the intent is that it will be used continuously by NRA Commanding Officers and managers to increase awareness of requirements and assess/review the areas they are responsible for. This guide can also be used as the basis for the turnover of duties and relieving process to ensure all primary and collateral duties and responsibilities are covered in the course of personnel turnover. The guide contains all the functional areas that an NRA is responsible for in this Region. All of these areas will be subject to assessment.

    d. Background. Previously when an NRA prepared for an assessment or inspection, they conducted self-evaluations, and assigned personnel merely completed the checklist and paid little attention to governing/related directives. The revised format is intended to focus on the governing directives under the premise that if responsible personnel are reading, implementing, and adhering to the governing directive(s) for each functional area, then the designated area should be in compliance and the NRA will successfully complete an assessment. More importantly, the NRA will be executing responsibilities and requirements correctly on a daily basis.

5. Information and Action

    a. Self-Assessment. The self-assessment is the first step in the assessment process. It is intended to shift the emphasis from a Readiness Command assessment only, to giving subordinate NRAs the responsibility for measuring and continuously improving their key day-to-day operational processes. Reference (a) provides details on the command assessment process. Approximately six months prior to a scheduled assessment, NAVRESREDCOM NW staff will initiate correspondence requesting a self-assessment of all the listed functional areas contained in enclosure (1) by the command being assessed. This approach allows the NRA to identify potential problem areas, assess and report system deficiencies, identify resource shortfalls, and make suggestions to improve the process of the functional area. When the self-assessment is received, a determination is made by the NAVRESREDCOM NW staff Senior Inspector which areas will be reviewed based on input provided in the self-assessment.

When the self-assessment is received, a determination is made by the NAVRESREDCOM NW staff Senior Inspector which areas will be reviewed based on input provided in the self-assessment. Some areas such as logistics, training, and special interest items will always require on-site assessment regardless of NRA input.

     b. <u>Customer Surveys</u>. Also included in the assessment process will be two customer surveys. The surveys are included as part of reference (b). One is for the Reserve units, which the NRA supports, and the other is for Reserve unit gaining commands. The surveys will be used to measure mission effectiveness and provide a basis for recommendations for improvement in specific areas at the NRA.

6. <u>Changes</u>. Experience gained through the use of this guide, as well as individual functional area changes, will inevitably result in the need to review and update the assessment guide as necessary. Changes will be issued on an as required basis. Recommendations for changes/revisions should be forwarded via members' chain of command to NAVRESREDCOM NW (Code N3/7).

7. <u>Cancellation Contingency</u>. This notice will remain in effect until cancelled or superceded by another notice or directive bearing the same subject.

J. M. LANDON II
Deputy

Distribution: (NAVRESREDCOMNWINST 5216.1K)

Lists A
     B

Stocked: NAVRESREDCOM Northwest (N01A)

NAVAL RESERVE READINESS COMMAND
NORTHWEST
COMMAND ASSESSMENT GUIDE

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NON-ASSESSED AREAS

The following areas normally will not be inspected.   However, it is expected the command be familiar with the programs and have guidance in place at the activity to carry out the intent of the directives.

General

Fraud, Waste, and Abuse

Ref: (a) COMNAVRESFORINST 5200.4D (Fraud, Waste, and Abuse)

1.   Fraud, waste, and other improprieties such as misappropriation or misuse of government assets affect adversely on the ability to operate efficiently and effectively.   The elimination of these improper acts is a major objective within the Naval Reserve and must receive the attention of all personnel in positions of command and leadership.

Public Affairs

Ref: (a) SECNAVINST 5720.44A (Department of the Navy Public
           Affairs Policy)
       (b) OPNAVINST 5750.12G (Command Histories)
       (c) SECNAVINST 5724.3 (Instructions and Policies concerning
           Fleet Home Town News Program)

1.   It is DON policy to make available timely and accurate information so that the public, Congress, and the news media may assess and understand the facts about national security and defense strategy.   Requests for information from organizations and private citizens will be answered in a timely manner per reference (a).

2.   In accordance with reference (b), command histories are the only overall account of a command's activities and achievements preserved for future use.   They are maintained in the Navy's permanent records, indexed, and made accessible to authorized users.

3.   The Fleet Home Town News Program provides the most effective and economical production and distribution of information about sea service members to their hometown news media.   These releases emphasize the accomplishments and activities of the

individual and are not intended to publicize routine command
activities or overall service programs. Every command or unit
should submit Fleet Home Town News Release Forms to FHTNC on a
regular basis.

Awards and Decorations

Ref: (a) COMNAVRESFORINST 1650.1F (Policy and Procedures
          Governing the Navy Decorations and Awards Within the
          Naval Reserve)

1. Prompt recognition for exceptional performance enhances
morale. To preserve the meaning of awards and personal
decorations, Commanders and Commanding Officers must
differentiate between outstanding performance in Enlisted
Performance Evaluations or Officer Fitness Reports, and service
for purposes of military decorations or awards. Reference (a)
provides specific procedures.

Secure Telephone Unit (STU)-III

Ref: (a) NAVRESREDCOMREG22INST 2280.2A (STU-III Implementation
          Policies and Procedures)

1. Commands will maintain files, records, and logs in accordance
with reference (a). Personnel need to receive training in
appropriate areas of STU-III management. STU-III materials must
be handled, safeguarded, inventoried, and disposed of per written
directives provided by parent account command.

Tobacco Prevention

Ref: (a) SECNAVINST 5100.13B (Navy and Marine Corps Tobacco
          Policy)

1. DON's policy is to reduce tobacco use and protect personnel
from involuntary exposure to Environmental Tobacco Smoke (ETS) to
the greatest extent possible. Where conflicts arise between the
rights of nonsmokers and the rights of smokers, the rights of
nonsmokers to a smoke-free environment shall prevail. DON policy
is to provide tobacco users with encouragement and professional
assistance to stop tobacco use. The objective is to establish
appropriate environmental protective measures to ensure a safe,
healthy, and unpolluted working and living environment. The DON
approach is designed to improve our overall state of health and
our ability to maintain a high state of military readiness.
Tobacco use harms readiness by impairing physical fitness and by
increasing illness, absenteeism, premature death, and health care
costs. Specifically, smoking of tobacco products is prohibited
in all DON-controlled spaces except as noted in reference (a).

Sexual Harassment Prevention

Ref: (a) OPNAVINST 5354.1D (Navy Equal Opportunity (EO) Manual)
      (b) SECNAVINST 5300.26 (Department of the Navy Policy on
          Sexual Harassment)
      (c) COMNAVRESFORNOTE 12720 (Equal Employment Opportunity)
      (d) OPNAVINST 5370.2 (Navy Fraternization Policy)

1. EO and Sexual Harassment Prevention are readiness issues and
basic principles of sound leadership. Per reference (a), it is
every Commander's responsibility to implement Command Managed
Equal Opportunity (CMEO) and to ensure command climate supports
equitable treatment and equal opportunity for all personnel to
strive for excellence in all aspects of Navy life. The Commander
must ensure all personnel are aware of Navy EO policy and must
take prompt action against those who are not in compliance.

Command Services

Ref: (a) COMNAVRESFORINST 5210.1F (Administrative Management
         Manual)

Privacy Act/Freedom of Information Act (FOIA). When soliciting
personal information directly from individuals, a Privacy Act
Statement will be provided advising them of the following:
authority that permits collecting the information; purpose for
collecting the information; who will routinely have access to the
information; whether or not providing the information is
mandatory or voluntary; and the results of not providing the
information requested.

Directives System. Written guidelines establish policy,
organization, conduct, methods, and procedures per the Navy
Correspondence Manual, SECNAVINST 5216.5D, and the Directives
Issuance System, SECNAVINST 5215.1C. Do not duplicate higher
authority directives/instructions. A control system, tickler,
and associated case files will be in place and maintained per
reference (a).

Correspondence Management

1. All correspondence (e.g., letters, directives, and
memorandums) will adhere to the guidance in reference (a).

2. Activities will take prompt action on incoming correspondence
that requires action or reply. Normally, correspondence should
be answered within 10 workdays or within the time set by the
incoming correspondence. Freedom of Information and Privacy Act

requests will be answered within 10 workdays of receipt. If more time is required, notify the requestor before the 10-workday deadline.

3. For Official Use Only (FOUO) applies to information that isn't classified, but which may be withheld from the public under the Freedom of Information Act. No other material may be marked, FOUO (e.g., classified information). To designate correspondence as FOUO, type "FOR OFFICIAL USE ONLY" in capital letters, centered at the bottom edge of the first and last page. For documents with cover or title pages, type, stamp, or print in capital letters, "FOR OFFICIAL USE ONLY" centered at the bottom on the front cover and the outside of the back cover. See reference (a) for other directives.

4. Email is used for informal communications in place of telephone calls or to transmit formal correspondence within DOD. Items sent and or answered by email must be marked "For Official Government Business Only."

Reports Management

1. Activities are responsible for implementing and maintaining an effective Reports Management Program per reference (a). The system utilized must ensure that all command reports have been completed and submitted as required. Objectives of such a program are to:

a. Eliminate or prevent unnecessary reporting.

b. Improve reporting procedures.

c. Provide a means of reporting and challenging information if considered unnecessary or duplicative with the goal to reduce administrative burdens and streamline information management at all levels in the chain of command.

d. Ensure that reports are not imposed unless the expected value of the information is worth the imposition of the burden. Requested information must be absolutely essential to command mission and not just to document compliance with regulations or nice to know information.

e. Control the creation of new reports; ensure that all reports are cost effective, and that all items contained therein are essential and not duplicated in other reports.

f. Provide clear and complete reporting instructions and forms which are as simple as possible to complete and review.

Forms Management. Activities are encouraged to submit recommendations for the improvement of any higher echelon form to the cognizant activity via the chain of command. Forms management personnel must be familiar with available higher authority forms and utilize these whenever possible instead of locally designing and producing local forms. Each command/activity is responsible for the establishment and maintenance of a Forms Management Program, and if local forms are produced and used, they must be in compliance with SECNAVINST 5210.11D, SECNAVINST 5213.10D and reference (a).

General Administrative Management

Records Management. Comply with all directives governing retention and disposal of records. SECNAVINST 5210.8C and SECNAVINST 5212.5D provides policy guidance, and responsibilities for programming records for orderly retention and/or appropriate disposal, and prescribes standards and procedures for accomplishment. Willful concealment or destruction of government records could result in fines, imprisonment, or both. All activities are responsible for creating and preserving records that adequately and properly document "the organization, functions, policies, decisions, procedures, and essential transactions of the agency." Additionally, all commands will conduct an inventory of office files annually and establish an effective program for the orderly retention and/or disposal of activity records and keep statistics on volume of records held per prescribed standards and procedures. When in doubt, retain/keep.

Duplicating and Printing Management. Ensure that locally duplicated material conforms to printing regulations per NAVSUP P35.

Master Directives Library. Incoming directives should be screened to determine action that should be included on action correspondence list and the office designated for action; cancellations; enclosed directives requiring cross-reference sheets; and any report requirements. Activities should consider publishing in their plan of the week/month all incoming directives received during that period. Information technology has enabled master libraries to become 90 percent paperless. Review monthly the following Internet sites for receipt of the latest regulations issued which should also be provided in plan of the week/month. Internet sites should be reviewed for DOD Directives, SECNAV/OPNAV directives, COMNAVRESFOR/COMNAVSURFRESFOR directives, and COMNAVPERSCOM/BUPERS directives using the list of effective instructions and notices.

Administrative Workload Reduction. Administrative workload reduction is a priority in the Naval Reserve. The goal is to reevaluate administrative policies and reduce paperwork within the Naval Reserve, thereby increasing the time available for unit mobilization readiness training. The automation of correspondence and ticklers is highly encouraged. Negative reporting requirements will not be authorized or used. Individual letters of designation for primary/collateral duties will not be required nor used except when absolutely necessary. Use the collateral duties notice for this purpose whenever possible. Locally developed reports, additions to reports required by higher authority, and one-time reports will not be generated. Activities will not respond to unlicensed reports. Activities will limit distribution of local directives and correspondence to "need to know" addressees; however, ensure use of the chain of command and "copy to" as appropriate. Allow handwritten reports, records, and requests whenever feasible. Use GSA Fax Transmittal Form (OF) 99 instead of a separate cover sheet when sending material via fax transmission. Reserve units, with the exception of commissioned/self-supporting units, will discontinue the practice of maintaining separate correspondence files and directive libraries.

Training

Reserve Standard Training, Administration, and Readiness Support (RSTARS) Training Management (TM) and Command Training Management (CTM) Operations

Ref: (a) COMNAVSURFRESFORINST 3502.1C (Surface Master Training Plan)

1. Reference (a) delineates the policies and procedures to be used for training FTS personnel and Selected Reservists (SELRES) in the Naval Surface Reserve Force. The information is presented in a concise format with emphasis on policy statements. In addition, there are four main sections to this instruction, each conforming to a step in the training cycle: planning, scheduling, execution, and analysis.

FTS Training

Ref: (a) COMNAVSURFRESFORINST 3502.1C (Surface Master Training Plan)

1. Administrative Training Requirements, Table VI-1-1 of reference (a), lists those specific courses that are required training. Additional training pertinent to improving members working skills is also recommended.

Annual Training (AT)/Active Duty Training (ADT)/Inactive Duty Training Travel (IDTT) Management and Support

Ref: (a) COMNAVRESFORINST 1571.7H (Order Processing and Transportation for Naval Reservists)
        (b) Navy Ticket Document Delivery Procedures Manual
        (c) COMNAVSURFRESFORINST 3502.1C (Surface Master Training Plan)
        (d) COMNAVSURFRESFORINST 5400.8 (Naval Reserve Activity Support to Naval Reserve Units)

1. Reference (a) establishes policy and outlines administrative procedures for processing AT, ADT, IDTT, and related travel arrangements for SELRES. References (b) and (c) provide teleticketing procedures in support of training requirements for Reservists per reference (d).

2. Support to Reserve units by NRAs varies based upon the FTS personnel and assigned Reserve units. Reference (d), enclosure (1), is a quick reference support task matrix which identifies tasks where NRA support to Reserve units is required. Matrix blocks identified with an "x" indicate a support relationship of some degree between the NRA and the Reserve unit. Enclosure (2) gives further detailed guidance on support to Reserve units and lists responsibilities for both NRAs and Reserve units.

Medical Training for Program 9, 32 and 46

Ref: (a) COMNAVRESFORINST 1570.10B (Naval Enlisted Classification Attainment Program (NECAP))
        (b) COMNAVRESFORINST 1540.10B (Naval Reserve Support for the Selected Marine Corps Reserve)
        (c) COMNAVRESFORINST 1571.17D (Continuing Medical Education (CME), Continuing Education (CE), and Professional Update Training (PUT) for Naval Reserve Medical Department Personnel)

1. Reference (a) provides policy regarding the selection, training and administration of Hospital Corpsmen (HM) and Dental Technicians (DT) enrolled in NECAP. NECAP is designed to train highly motivated SELRES HMs and DTs for assignment to programs associated with the Marine Corps or naval construction units. NECAP's predominant feature is that it affords exportable training opportunities for HMs and DTs to earn the HM-8404 and

DT-8707 Navy Enlisted Classification (NEC) code. NECAP is a modularized course of instruction consisting of IDTT periods (totaling 10 days), followed by a 17-day AT Field Training Exercise usually held in the month of July.

2. Reference (b) provides policy and outlines responsibilities for the management of Naval Reserve (NAVRES) units to support the Selected Marine Corps Reserve (SMCR) and to meet mobilization requirements of the Fleet Marine Force (FMF).

3. Reference (c) provides uniform guidance and policy for the attendance and funding of Naval Reserve Medical Department officers and enlisted personnel at authorized CME, CE, and PUT conferences and seminars. The quality of care provided by the Navy Medical Department to its beneficiaries requires current documented professional competency on an ongoing basis. CME/CE/PUT is essential for the maintenance and growth of professional competency in this age of rapid technological advances, frequent administrative changes, and emphasis on quality assurance. Attendance at courses, workshops, seminars, symposiums, and professional meetings allows for general professional growth and facilitates the acquisition of the most current state of the art knowledge and skills. Medical department personnel are encouraged to participate in appropriate professional health related programs.

Readiness

Ref: (a) COMNAVRESFORINST 3501.1K (Readiness Monitoring and Reporting for Naval Reserve Force (NRF) Units)
     (b) COMNAVSURFRESFORINST 3502.1C (Surface Master Training Plan)

1. Readiness is defined as "readiness to mobilize," and encompasses all areas of preparedness addressed in reference (a). The instruction provides the readiness monitoring and reporting guidance to be used by Naval Reserve units not reporting under NWP 1-03. To maximize support to the Navy, each echelon should judiciously apply their resources to mobilization and peacetime support requirements. All Naval Reserve units will ensure readiness data is updated monthly in the RSTARS/RTSS database. Commissioned units will also follow the reporting criteria per NWP 1-03.

2. Reference (b) provides all Naval Surface Reserve Force activities and personnel with policies and procedural guidance for training personnel in the Naval Surface Reserve Force.

Mobilization

Ref: (a) COMNAVRESFORINST 3060.5A (Commander Naval Reserve
            Force Logistics Support and Mobilization Plan)
       (b) NAVRESREDCOM22INST 3060.5B (Manpower Mobilization and
            Support Plan)

1. When directed by higher authority, all commands having
activation/mobilization responsibilities will carry them out per
current directives and amplifying instructions issued with the
activation/mobilization order. References (a) and (b) provide
interim guidance on mobilization readiness.

Personnel

Age 60 Waivers

Ref: (a) BUPERSINST 1001.39C (Administrative Procedures for
            Naval Reserves on Inactive Duty)

1. Reserve activity COs will ensure that affected members are
notified at least 12 months prior to their 60th birthday. They
will conduct required counseling using Administrative Remarks
(NAVPERS 1070/613) per reference (a), and will prepare required
service record entries. Additionally, Reserve activity COs will
track these personnel until the issue is resolved.

Defense Enrollment Eligibility Reporting System (DEERS)

Ref: (a) BUPERSINST 1001.39C (Administrative Procedures for Naval
           Reserves on Inactive Duty)

1. Per reference (a), Chapter 16, DEERS is used to enroll
Individual Ready Reserve (IRR), Standby Reserve members, Retired
Reserve members under age 60 without pay, but who are entitled to
retired pay at age 60 (formerly referred to as Gray area
retirees), and their family members in DEERS. Sponsors and their
family members are maintained in a pre-eligible status for future
entitlement to benefits. If the sponsor is called for more than
30 days of AT or ADT, DEERS will verify that the family members
are eligible for full benefits for a period of up to 180 days.
After 180 days the family member's relationship to the sponsor
must be revalidated to retain eligibility. It is the
responsibility of the military sponsor to ensure all eligible
family members are enrolled in DEERS, that all information is
accurate, and that any changes in relationship are promptly
reported to the service record holder. Members and their family

are enrolled when they apply for their ID cards (see section
1603, reference (a)). Members of the Standby Reserve do not
currently participate in the Guard and Reserve DEERS Enrollment
Program, unless previously enrolled while in another status.

High Year Tenure (HYT)

Ref: (a) OPNAVINST 1160.7B (Reenlistment Quality Control Program
          for Inactive Duty Enlisted Naval Reserve)

1. All personnel affected by HYT must be counseled on the
options available to them. Reference (a) provides criteria
members must meet for HYT. All affected personnel will sign the
NAVPERS 1070/613, Administrative Remarks service record entry no
later than 31 July of the year prior to the calendar year of
reaching pay grade HYT.

Reserve Montgomery GI Bill (RMGIB)

Ref: (a) COMNAVRESFORINST 1780.1A (RMGIB)

1. The RMGIB is an essential recruiting/retention tool effective
only if properly administered. It provides monetary educational
benefits for individuals who incur a six-year Selected Reserve
obligation, meet eligibility criteria, and maintain satisfactory
participation. Enclosures (1) through (13) in reference (a)
provide guidance in the administration of the RMGIB.

Logistics and Management

Land and Facilities Management

Ref: (a) OPNAVINST 11000.16A (Command Responsibilities for Shore
          Activity Land and Facilities)

1. The management of land and shore facilities is an inherent
command responsibility. Commanders and Commanding Officers shall
personally exercise their professional judgement in such areas as
installation planning, identifying resource requirements,
economical maintenance of good material condition, safety and
appearance, and use and disposal of facilities.

Civil Engineering Support Equipment (CESE) Management

Ref: (a) NAVRESREDCOMREG22INST 11200.1B (Administration,
           Management, Operation and Maintenance of Civil
           Engineering Support Equipment (CESE))

1. Reference (a) provides standard instructions and guidelines
for the centralized control, operation and maintenance of CESE
assigned to Naval Reserve activities under the cognizance of
REDCOM NW. Assigned vehicles shall be maintained at a level
ensuring safe and economical operation. Each vehicle shall
present a positive Navy image at all times with regard to good
external repair and overall vehicle cleanliness.

COMMAND

CO-1   Mission Accomplishment

POC: REDCOM NW Chief of Staff (COS) or Senior Assessment
       Officer

Ref: (a) NAVRESREDCOMREGNWINST 5040.1N (Command Inspection
           Program)

Objective: To provide feedback to the Center's Commanding
Officer on the results of the assessment. This section will be
presented in letter form.

1. The Senior Assessment Officer will review reports and verbal
feedback from the assessment team in all areas of activity
assessment. Based on that information and personal
observations, the Senior Assessment Officer will provide written
narrative feedback to the Echelon V Commanding Officer in the
following areas based on mission performance per reference (a).

    a. Is the activity effectively meeting the mission of the
Naval Reserve, delivering highly trained individuals, units and
equipment to the active duty Navy, as efficiently as possible?

    b. Are the activity leaders striving to improve customer
service in all areas of Selected Reserve support?

    c. Are the activity leaders encouraging innovation and
development of more effective and accountable information and
communication systems?"

COMMAND

CO-2   Command Master Chief/Senior Chief/Chief (C/MC/SC/C)

POC: REDCOM NW N00C

Ref: (a) OPNAVINST 1306.2C (Fleet, Force, And Command Master
           Chief Program)
       (b) OPNAVINST 1740.3 (Command Sponsor and Indoctrination
           Program)
       (c) BUPERSINST 1001.39C (Administrative Procedures For
           Naval Reservists On Inactive Duty)
       (d) OPNAVINST 1750.1D (Navy Family Ombudsman Program)
       (e) OPNAVINST 1710.7 (Social Usage and Protocol Handbook)
       (f) SECNAVINST 1650.1F (Navy and Marine Corps Awards
           Manual)
       (g) COMNAVRESFORINST 1650.1F (Policy And Procedures
           Governing the Decorations and Awards Program within
           the Naval Reserve)
       (h) BUPERSINST 1430.16D (Advancement Manual)
       (i) BUPERSINST 1610.10 (Navy Performance Evaluation and
           Counseling System)
       (j) COMNAVRESFORINST 1700.1G (Sailor Of The Year (SOY)
           Program)

Objective: To assess the Senior Enlisted Advisor's performance
as required per reference (a). As the Senior Enlisted Leader to
the Commander/Commanding Officer on all matters relating to
enlisted policy, Fleet, Force, Command Master Chiefs must work
with the Commanding Officer, Executive Officer, Chief of Staff,
or Deputy in the dissemination and promotion of command policy.
They will function as an integral element of the chain of
command.

1.   C/MC/SC/C needs to ensure applicable areas listed in
enclosure (1) of reference (a), are properly managed as
resources allow at the command.

2.   Ensure the command's sponsor and indoctrination program
follow the guidelines established in reference (a) including;

     a.   Welcome aboard letters are signed by the commanding
officer and mailed out in a timely fashion.

     b.   Provide Welcome Aboard packages to prospective
personnel.

c. Ensure appropriate indoctrination programs for Active and Reserve personnel are in place.

d. Use sponsor critiques to evaluate effectiveness of the program.

3. Conduct the Professional Development Board (PDB) at least quarterly.

4. Schedule and participate in Chief Petty Officer and Petty Officer Indoc.

5. Work with and assist the Ombudsman as required and requested.

6. Schedule visits with units and help or assist the collateral duty Command Chiefs with issues as requested or as directed.

7. Review the awards nomination process.

8. Visit unit personnel.

9. Using references (a) through (j) and others as applicable, review programs for which the C/MC/SC/C is responsible and pertinent to the command.

10. Discuss with the C/MC/SC/C issues, concerns and assess overall morale and command climate.

QUALITY OF LIFE

QL-1   Morale, Welfare and Recreation (MWR) Management

POC: REDCOM NW N00C

Ref: (a) BUPERSINST 7510.1 (Fiscal Oversight)
       (b) BUPERSINST 1710.11B (Recreation Program)
       (c) BUPERSINST 7010.15 (Financial Reporting Procedures)
       (d) COMNAVRESFORINST 7010.2B (Administration of Rec. Fund)

Note: This section only applies to commands that operate a decentralized unit recreation fund.

1. Navy policy is to provide Navy operational and support activities with essential MWR mission support services as well as to produce programs that will effectively contribute to the morale, well-being and quality of life of Naval personnel and their family members.

Objective: To verify actual fraud or practices that could lead to fraud are not occurring at the activity. "Common sense" and procedures per references (a) through (d) are key in determining if an adequate audit trail exists for transactions.

1. MWR checkbook statements are reconciled monthly and inventories of property and resale merchandise conducted and documented per reference (a).

2. MWR internal audits are conducted at least semi-annually (March and September) per reference (b).

3. Procurement procedures are followed per reference (d).

4. Cash collections have two-person integrity and are conducted in a timely manner.

QUALITY OF LIFE

QL-2   Substance Abuse/Urinalysis Program

POC: REDCOM NW N41A

Ref: (a) OPNAVINST 5350.4C (Drug Abuse Prevention)
       (b) COMNAVRESFORINST 5350.4E Drug Abuse Prevention)
       (c) Urinalysis Coordinator Handbook (Jan 00)

Objective: The objectives of the Alcohol and Drug Abuse Program
are prevention of abuse and disposition of identified abusers.
COMNAVRESFOR programs and efforts to prevent abuse of alcohol and
drugs must receive the full support at all levels of command.
The following should be reviewed per references (a) through (c):

1.   Submit Drug and Alcohol Abuse Reports (DAARS) on time.

2.   Conduct substance abuse education.

3.   Ensure urinalysis screening randomness, consistency and
inclusion of all assigned personnel. Minimum ten percent of all
assigned personnel must be tested per month.

4.   Maintain a tight chain of custody of urinalysis samples.
Ensure instruction and training documentation of collection
assistants and observers is maintained. Accurately complete logs
and forms.

5.   Maintain urinalysis records for two years.

6.   Develop a tickler system to ensure that all incidents receive
the proper DAAR and are submitted in a timely manner.

7.   Consider implementation of Navy Drug Screening Program.

8.   With all programs involving legal procedures, it is
absolutely necessary to ensure the administrative paper trail
from personnel training to urinalysis records is accurately
maintained.

9.   Review urinalysis logs, forms, procedures and drug lab
messages.

10. Ensure maintenance of required directives, files and reports.

11. Verify demographics are maintained for substance abuse
incidents.

QUALITY OF LIFE

QL-3   Career Information Program Management (CIPM)

POC: REDCOM NW N01E

Ref: (a) Retention Team Manual (NAVPERS 15878H)
       (b) Career Information Program Management
           (NAVEDTRA 10238-A)
       (c) COMNAVRESFORINST 1040.1H
       (d) BUPERSINST 1001.39C
       (e) Enlisted Transfer Manual (ENLTRANSMAN) (NAVPERS 15909E)
       (f) COMNAVSURFRESFORINST 5400.8

Objective: To ensure an effective system and tools are in place
to support the command's mission as well as promote the morale
and upward mobility of enlisted personnel, FTS and Selected
Reserve.

1.   Does the Collateral Duty Command Career Counselor (CCC) hold
training (GMT, group presentations, and topical information for
the Retention Team) per references (a) through (c)?

2.   Does the CCC track required interviews per references (a)
through (c) and/or utilize the Career Information (Retention)
Team to provide the majority of these interviews per references
(a) and (b)?

3.   Does the CCC sit on the PDB per reference (a)?

4.   Is the CCC involved with the indoctrination program for both
active duty and SELRES per reference (c)?

5.   Are advancements being monitored per references (a) through
(c). Specifically, does the Center maintain the following
statistics:

     a.   Number of Time-in-Rate (TIR) eligible vs. number of
personnel qualified to take the examination (raw numbers as well
as percentage)?

     b.   Number of TIR eligible vs. number of personnel who take
the examination (raw numbers as well as percentage)?

     c.   Percentage of qualified members who actually take the
examination?

     d.   Breakdown of examination results: advanced/converted,
PNA'd and failed?

6. Does the Center monitor the progress of personnel in special enlistment programs such as APG and RESCORE-R in completing their qualifications in a timely manner per references (d) and (f)?

7. Does the CCC use BUPERS Access and/or does the NCC hold sponsor access to the system per references (a) and (b)?

8. Do Active duty members have a recent Duty Preference Sheet (OPNAV 1306/63) on file with NRPC per reference (f) and does the CCC utilize the off-line software from BUPERS Access to submit these "dream sheets" electronically?

9. Has the Regional Career Counselor given to 80 percent of Retention Team members and 70 percent of all supervisors E-5 and above (both active and SELRES) Career Information Training Course (CITC) or has a request for such training been made by the Center per reference (a)?

10. Is the CCC using all resources available to pass on career-related information (e.g., POM, bulletin boards, Quarters, CO's Call) per references (a) and (c)?

11. Is the CCC actively working with the ESO to ensure DANTES materials are available to the active staff and SELRES per references (a) and (b)?

12. Is the CCC actively recruiting active duty members into the Navy's National Apprenticeship Program per reference (f)?

13. Is the recommended client/counselor ratio of 30:1 being maintained per references (a) and (b)?

Management Tips:

1. The CCC, CO, and Command Chief must have a good working relationship and a free flow of information if this program is to work.

2. CCC must have access to NSIPS reports, the EDVR, and service records to properly perform the duties. Additionally, the CCC needs to be given BUPERS Access to maintain currency in areas of message traffic, procedures, gains and losses of the active duty members, orders/FLTRES request status, as well as advancement and board eligibility status.

3. Some form of tracking system must be developed for CIPM counseling. An active duty version is available for download from BUPERS Access. This can be used for both active duty and SELRES members.

4. The CCC needs to be an active member of the PDB and the PDB should be used to gain SELRES input and help with SELRES counseling in the areas of advancement preparation and rate conversion.

5. Create an "I Division" for SELRES and offer it frequently. This has been shown to have a powerful effect on retention. Active duty members can be given a thorough check-in for their indoctrination (because of the very small size of commands).

6. Maintain retention and advancement statistics and make them part of the monthly CCC report. Tie these statistics to the race and gender of the participants so that annual demographic gathering for the CMEO survey is simple.

7. Use BUPERS Access or homepage to download programs and publications such as Duty Preference Sheet, Sponsor packages, Off-line Address Book, leave accounting, NNAP booklets, PARS, and bibliographies.

8. Stress Education Programs. Find individual four-digit DANTES numbers, get the catalog and order everything available – it's free and a very worthwhile benefit.

9. Maintain individual career counseling files on each member assigned. They provide a ready reference for assessing each member's career progression and are a good holding place for unique documentation (Personnel Action Requests, Notice of Basic Eligibility (NOBEs), Page 13 entries, etc.).

10. Designate a Unit Career Counselor, Career Information Assistant, or Career Information point of contact for each unit. They can assist in reducing program management into manageable bites. Additional assistants may be designated to achieve the recommended client/counselor ratio of 30:1. (This ratio should be reduced to 20:1 when using new and/or not fully trained counselors.)

COMMAND SERVICES

CS-1   Postal Procedures

POC: REDCOM NW NO1A

Ref: (a) OPNAVINST 5218.7B (Navy Official Mail Management
           Instruction)
       (b) SECNAVINST 5216.5D
       (c) COMNAVRESFORINST 5218.1B (Naval Reserve Official Mail
           Management)

Objective: To verify that the requirements contained in
references (a) through (c) are adhered to. The following
requirements will be reviewed.

1.   Is the Official Mail Manager appointed in writing?

2.   Verify that mail-handling procedures for official mail are
effective and eliminate unauthorized intervention during any
stage of handling or storage. Conduct a separate review of
procedures for registered and certified mail.

3.   Is there a reliable, secure process in place for Reserve
units and other tenants to receive and distribute official
government mail internally?

4.   Does the activity make a reasonable and common sense effort
to send postage using the most effective (cost and time) means
possible?

5.   For activities with metering capability:

     a.   Are recruiting/tenant activities' mail expenditures
tracked adequately to ensure accounts are charged properly for
postal use?

     b.   Review postal meter procedures and associated records
including budgets. Is there any evidence of fraudulent use or
misuse of funds and/or equipment?

6.   Per reference (a), complete the Official Mail Manager's
Inspection checklist (NAVSUP 5218).

COMMAND SERVICES

CS-2   PSD/PLR Performance

POC: REDCOM NW NO1A

Ref: (a) OPNAVINST 1001.23B (Reserve Liaison Office (RLO) Duty)

The Pay/Personnel Administrative Support System (PASS) was established to improve the Navy's pay, personnel, and passenger transportation service efficiency and effectiveness. To implement PASS, the Navy consolidated these services in a single, centrally managed organization, which carries out its worldwide mission. As originally intended, PASS provides Navy personnel with convenient, "one-stop" customer service per reference (a).

Objective: To verify that sound communication and tracking systems are in place and functioning properly between the Reserve activity and the supporting PSD. The following items will be discussed/reviewed:

1.   Is the command Pass Liaison Representative PLR(s) designated in writing by letter to supporting PSD?

2.   Does the activity have sound communication procedures with the supporting PSD, normally a single PLR.

3.   Does the activity PLR attend PLR and/or PSD meetings?

4.   Speak with the PSD Officer-in-Charge (OIC) or senior representative. What areas of performance does the PSD see as positive for the activity, and what areas could the activity improve upon? Does the PSD OIC/rep see any areas with regard to Reserve support that may be systemic problems?

5.   Does the activity have a tracking system to ensure action/ correspondence entries or requirements submitted to the PSD are completed in a timely fashion? Review the travel claim tracking system, procedures, and action involved.

COMMAND SERVICES

CS-3   Evaluation/Fitness Report and Counseling Record

POC: REDCOM NW NO1A

Ref: (a) BUPERSINST 1610.10 (Navy Performance Evaluation and
           Counseling System)
       (b) COMNAVSURFRESFORINST 5400.8 (Navy Reserve Activity
           (NRA) Support to Naval Reserve Units)
       (c) OPNAVINST 6110.1F (Physical Readiness Program)

Objective: To ensure timely, realistic, and accurate fitness,
evaluation and counseling reports are submitted.

1.   Sample 10 percent of the staff or at least 10 percent of
assigned SELRES summary sheets and enlisted evaluation reports,
and verify they are completed on time per reference (a).

2.   From the sampling of enlisted evaluation reports reviewed,
ensure they comply with the requirements outlined in reference
(a):

    a.   Justification of 1.0 and 5.0 marks?

    b.   Do write-ups support marks provided?

    c.   Are promotion recommendations awarded to members
appropriately?

    d.   Are reports complete with the appropriate signatures,
promotion recommendations, and blocks completed including MOB
billet information and AT/ADT/ADSW performed during period of
report?

3.   Are FTS personnel complying with their obligations defined
in reference (b) concerning enlisted evaluations and fitness
reports?

4.   Is the NRA maintaining a FITREP/EVAL log as required per
reference (b).

5.   Is training provided to Reserve unit personnel involved in
the preparation of EVAL/FITREPs to ensure that they understand
and comply with the requirements of references (a) through (c)?

OPERATIONS AND TRAINING

OT-1   Training General

POC: REDCOM NW N71

Ref: (a) COMNAVSURFRESFORINST 3120.1 (Naval Readiness Command/
           Naval Reserve Center Organization and Regulations
           Manual)
       (b) COMNAVSURFRESFORINST 3502.1C   (Surface Master
           Training Plan)
       (c) COMNAVSURFRESFORINST 5400.2B (Naval Reserve Readiness
           Command (NAVRESREDCOM) Organization Manual)
       (d) COMNAVRESFORINST 1571.7H (Order Processing and
           Transportation Arrangements for Naval Reservists)
       (e) COMNAVRESFORINST 3501.1K (Readiness Monitoring and
           Reporting for Naval Reserve Force Units)
       (f) NWP 10/1/11   (Readiness Reporting)
       (g) COMNAVRESFORINST 1570.10B (Navy Enlisted
           Classification Attainment Program (NECAP))
       (h) COMNAVSURFRESFOR 081300Z Sep 00 (FY01 NECAP Program
           Guidance)
       (i) COMNAVRESFORINST 3500.13 (Naval Reserve Non-Prior
           Service (NPS) Enlisted Personnel; Accession Training
           and Qualification Management)
       (j) NAVADMIN 223/00 (FY01 General Military Training)

Objective: To support the execution of training by assigned
Reserve personnel and units. Train and maintain assigned
personnel and equipment in a state of readiness and
availability, which will permit rapid employment of Reservists.
Manage assigned resources and provide administrative and
logistic support to assigned Reserve units and Reservists.
Coordinate training and administration of the Naval Reserve
Program as directed by higher authority.

ON-SITE INSPECTION: Observe evolutions listed as time permits
on a not-to-interfere basis.

1. Interviews with training and readiness personnel to discuss
policies, procedures, and review training programs and readiness
results.

    a. Review certain documents, e.g., Unit Training Schedules,
Consolidated Training Schedules, service records, and all other
readiness and training reports available in RSTARS(TM).

b. Review service records for training completion.

c. Attend Planning Board For Training (PBFT).

d. Hold informal discussions with assigned SELRES.

2. Training should have sufficient computer systems for staff and SELRES to conduct training and administration.

a. Identify assets:

(1) Number of FTS training staff _____.

(2) Computers available to FTS training staff for administration with Internet access ____.

(3) Number of SELRES assigned to center _____.

(4) Computers available to SELRES for training _____.

(5) Is overhead projection equipment available and used with computer courses, training classes, and general information for units?

(6) Training information should be available on the center's web page or local area network.

(7) SELRES Training staff should be familiar with, and using, Navy Internet training sites.

3. Identify quality and quantity of correspondence course and training material.

a. Courses should be graded within 30 days.

b. Centers should have the following correspondence courses and CD-ROM holdings.

(1) Military Requirements for E3 through E8 (five percent of assigned enlisted manpower).

(2) Rating Courses for E4 through E7 (at least one course for every rating assigned to the RESCEN).

(3) Naval Orientation (two CD ROMs and WEB-based).

(4) Unit CO Course (two CD ROMs and WEB-based).

(5) When distributed, Dental Proficiency Course CD ROM (two CD ROMs per activity).

4. Training Department's hours of operation should meet the needs of Reservists.

a. What are the advertised hours of operation?

b. There should be a process in place to deal with emergent requirements after hours.

5. There should be an information dissemination program in place to ensure higher authority messages and information pertaining to Force training issues reach assigned FTS and SELRES. Review five recent messages or official correspondence. Was the information available to Reserve unit personnel? Are unit COs ensuring the information is disseminated to their units?

6. FTS Training personnel should have completed formal training.

a. Is there an adequate number of staff members (at least two) who can input or process ADT, IDTT, AT, ADSW or mobilization orders?

b. Are there an adequate number of staff members (at least two) to order correspondence courses?

c. Are Training Department personnel aware of the course ordering capabilities on the CNSRF WEB page?

d. List outstanding procedures at the center that could be recommended by REDCOM NW to other centers.

7. NECAP/Chaplain and Religious Program Specialist Expeditionary Skills Training (CREST). Center and unit COs should promote NECAP/CREST and motivate students as much as possible to complete these programs. Confirm the center's:

a. Percentage of HM/DT/RP rates.

b. Percentage of HM/DT/RPs in Program 9 units.

c. Percentage of HM/DT/RPs who have the 8404/8707/2401 NEC.

d. NECAP graduation rate (graduates vs. attendees) for the most recent year.

8. Non-Prior Service (NPS)

a. NPS members assigned to the activity should receive the following per reference (i).

(1) Minimum training requirements specified in reference (i), enclosure (5), paragraph 2(a) for attendance at accession training Non-Prior Service Accession Course (NPSAC).

(2) Administrative requirements specified in reference (i), enclosure (4), paragraph 2 should be completed in a timely fashion, ideally, during the member's first drill.

(3) Members should receive all required uniform items before attending NPSAC, including the two additional dungaree shirts specified in reference (i) paragraph 5(d)(2).

b. How many NPS members who have not completed NPSAC accession training are _not_ scheduled to attend NPS accession training?

(1) Waivers (if needed) to attend NPSAC should be completed within 45 days of submission.

c. Is Training Department providing the NPSAC Welcome Aboard Package and NPSAC video?

d. Does the center have a viable program to track NPS member progress, school requirements, and class quota/reschedules?

e. Interview or survey at least ten percent of assigned NPS accessions (as time permits). What specific problems are they having?

Customer Service and Readiness Observations

1. Customer Service. Centers and units should be providing and/or receiving good customer service.

2. Training. Observe actual training taking place (as time permits). Is the Individual Training Plan (ITP) related or in another way leading toward accomplishing the mission of the Naval Reserve?

   a. General Military Training should be conducted per reference (j). Observe a GMT session.

   b. Observe a unit training session from at least 25% of assigned units.

   c. Observe actual RIMA operations (where applicable).

   d. Observe at least one of the activity's actual off-site training programs/units (where applicable).

   e. Observe a Non-Prior Service training evolution conducted per reference (i).

3. Feedback. Through informal discussion, collect feedback from the activity FTS Training Department personnel regarding support received from REDCOM NW N7 staff and outside activities. Get their ideas for improving customer service to Selected Reservists and fleet support at their activity and in the Naval Reserve. Capture any innovative ideas, which could be used Force-wide.

4. Readiness Training

   a. Unit training requirements should meet the needs of the gaining command.

   b. Correspondence should be initiated on training requirements not meeting the needs of the gaining command.

   c. Are Training Resource Requests submitted in a timely fashion?

   d. Review practices to ensure NRA/units are using all available resources to the maximum extent possible to improve/maintain readiness.

   e. Assess the use of available management systems to monitor unit efforts to increase/maintain readiness training (i.e. RSTARS (TM), RSTARS (CTM)).

5. ADMIN Reduction. Are there any training reports being requested by higher authority that seem unnecessary or are redundant?

Management Tips

1. Training Department should have and be familiar with references (a) through (j).

2. A list of Subject Matter Experts/Subject Matter Instructors (SME/SMI) should be maintained and provided to units to assist in their training programs.

3. Training Officers and Enlisted Training Administrators must be thoroughly familiar with reference (b).

4. There should be a valid training accomplishment tracking system to ensure training is properly entered in RSTARS(TM) and service records. Reference (b), section 4401.

5. New affiliates should complete Orientation to the Naval Reserve (NAVRES STS 950-0001) within the first four months of service. Reference (b), section 2201(d)(3).

6. Center Training Aids Librarian should have a Training Aids Inventory (Catalog) that is available to all hands. Reference (b), section 2406(a)(2)(b).

7. Authority to drill off-site should be documented in PBFT minutes and signed as approved by Center CO. Reference (b), section 3408.

8. When local TSNs are created to support specific training evolutions, locally prepared lesson plans/outlines should be developed and kept on file in the center library. Reference (b), section 4405(c).

9. Center librarian should be able to provide feedback on library usage to the center CO. Reference (b), paragraph 2406(b)(10).

10. Units with Job Qualification Requirement (JQR) ITP line items should establish and maintain a list of unit personnel authorized to sign off JQRs, and provide a copy to the Center CO. Reference (b), paragraph 4403 (c).

11. Center FTS should have a copy of all applicable JQRs on file.

12. Is PBFT used by unit COs to report completion of training and readiness in preceding months, analyze current and projected Overall Training Effectiveness (OTE) completion, and needs for additional training from center and other resources.

OPERATIONS AND TRAINING

OT-2   Operations/Fleet Support General

POC: REDCOM NW N71

Ref: (a) COMNAVSURFRESFORINST 3502.1C (Surface Master Training
           Plan)
       (b) COMNAVRESFORINST 1571.7H (Order Processing and
           Transportation Arrangements for Naval Reservists)
       (c) Navy Ticket Document Delivery Procedures Manual

Objective: To ensure established policy and administrative
procedures for processing Annual Training (AT), Active Duty
Training (ADT) and related travel arrangements for Selected
Reservists (SELRES) are carried out per references (a) through
(c).

1.   The following information concerning AT, ADT and IDTT orders
will be provided to the REDCOM NW inspector by the NRA:

    a.   Total SELRES count _____.

    b.   Total AT/ADT/IDTT order-count _____.

2.   Do you have a tracking system to ensure applications are
submitted and orders are received in a timely manner?

3.   Customer Service. Observe actual customer service at the
NRA. Review the order application, routing, and RIMS-OM input
process. Review order issue and notification procedures upon
receipt at the NRA.

4.   Collect feedback from FTS and SELRES regarding the
application process.

5.   There should be at least two trained operators for the
satellite ticketing process who coordinate ticketing procedures
per references (a) and (c).

6.   Is your teleticket machine in a secure area?

OPERATIONS AND TRAINING

OT-3   Ammunition Management/Weapons Programs

POC: REDCOM NW N71

Ref: (a) NAVRESREDCOMREG22INST 8011.1 (Requisitioning
           Procedures)
       (b) COMNAVRESFORINST 3591.2D (Small Arms Training and
           Range Procedures)
       (c) OPNAVINST 3591.1C (Small Arms Training and
           Qualifications)
       (d) OPNAVINST 1500.75 (Safety Policy and Procedures
           for Conducting High Risk Training)

Objectives: Safety must be placed at a level of utmost
importance when dealing with ammunition. Administrative
procedures need to comply with references (a) through (d).

1.   Does NRA determine upcoming fiscal year ammunition
requirements in support of assigned Reserve units and forward
them to the Readiness Command (N31) not later than 30 September?
(Reference (a), paragraph 4)

2.   Does NRA coordinate with assigned units regarding upcoming
shoots, Range Safety Officer and weapon(s) usage?

3.   Do NRAs provide the Readiness Command (N31) with updated
ammunition requests throughout the fiscal year per reference (a)
enclosure (1)?

4.   Before submitting ammunition requests to the Readiness
Command, does NRA review each participant's ITP to ensure
ammunition requests are valid requirements?   (Reference (a),
paragraph 3b)

5.   Is training conducted in accordance with references (b) and
(c)?

6.   Are High Risk Assessments conducted before each event per
reference (d)?

7.   Does the NRA ensure that an ammunition expenditure report is
forwarded to the Readiness Command (N31) within 24 hours after
completion of the event? (Reference (a) paragraph 4b)

RP-1   Billet Control

POC: REDCOM NW N11B

Ref: (a) BUPERSINST 1001.39C (Administrative Procedures for
              Naval Reservists on Inactive Duty)
          (b) COMNAVRESFORINST 1001.5C (Administrative Procedures
              for the Selected Reserve (SELRES) and Participating
              Members of the Individual Ready Reserve (IRR))
          (c) COMNAVRESFORINST 5320.1B (Reserve Functional Area
              and Sex Codes)
          (d) COMNAVRESFORNOTE 5320 (Selected Reserve (SELRES)
              Unit Priority Manning)

Objective: To maintain desired readiness levels in specific
units by directing assignment of Reservists to the most
appropriate units in accordance with references (a) through (d).
Lists of units by priority are in the current COMNAVRESFORNOTE
5320 (Selected Reserve (SELRES) Unit Priority Manning).

1.   The following information will be compiled from the manpower
database concerning billet management.

     a.   Number of IAP personnel who could fill a local billet or
be cross-assigned. _____.

     b.   Number of cross-assigned-out personnel who could fill a
local billet. _____.

     c.   Number of personnel not assigned within RFAS criteria.
_____.

     d.   Number of RESCORE personnel not assigned to a billet of
their new temporary rating. _____.

     e.   Number of CBVET personnel not assigned to an NMCB
detachment. _____.

     f.   Number of O5/O6 officers assigned to billets who are
neither board selected nor granted appropriate waivers.
_____.

     g.   Number of aviation personnel assigned IAP or to non-
aviation billets. _____.

2.   Billet Control Knowledge

     a.   Review billet management practices with the billet
control coordinator to determine level of knowledge and
experience.

Inquire as to participation of Echelon VI with Echelon V
coordinator, Echelon V with Echelon IV.

    b. Review cross-assignment procedures and frequency.

    c. Discuss frequency of Reserve Unit Assignment Document
(RUAD) reviews and assignment actions.

3. Prior to making any assignment, is the unit/billet
requirement, such as the unit priority, NEC/NOBC and RFAS
substitution code, reviewed?

4. Is the RUAD reviewed periodically by unit and center
personnel to ensure billet assignments are valid?

5. Recommend review of RUADs for all units a minimum of once a
month and make changes, as required, with unit coordinator.

6. Compile data for NRA from RTSS (TE) concerning billets and
review with Center billet manager.

RP-2   Reserve Pay

POC: REDCOM NW N11B

Ref: (a) BUPERSINST 1001.39C (Administrative Procedures for Naval Reservists on Inactive Duty)
(b) COMNAVRESFORINST 1001.5C (Administrative Procedures for the Selected Reserve (SELRES) and Participating Members of the (IRR))
(c) Navy Standard Integrated Personnel System (NSIPS) Manual (Release 0)

Objective: To have accurate documentation of IDT participation for all unit personnel. The following information will be reviewed for compliance per references (a) through (c).

1. Compile data for region/center from RHS database concerning the average delay in drill submission.

2. Compile data from RHS for region/center on NSP personnel concerning the average drill obligation and AT completion.

3. Cross-reference a random sample of ten percent of inactive duty training participation records (individual and unit) against unit earning statement for minimum standards of care.

4. Review inactive duty training unit summary report for accounting of prorated FY totals to date.

5. Review pay records and provide assistance as necessary for members not paid in a timely manner. Provide percentage of SELRES not paid in a timely manner, or within 30 days, to senior inspector.

6. Observe actual customer service. Review the procedures for other types of drills (Regular, UNSAT, Authorized Absences, Flex, PRIMUS, Additional and Incremental).

7. Review tracking of Trouble Ticket Log at the echelon IV for immediate action on identified pay problems. Review procedures to coordinate between drill accounting and personnel clerk/PSD for corrective personnel actions.

8. Is the Earning Statement reviewed and verified to determine if all members have been paid?

9. Are IDT muster and recording procedures clearly understood by IDT Accounting Petty Officers and Mustering Petty Officers?

10. Does the center call the REDCOM NW Trouble Ticket Coordinator before submitting Trouble Ticket? RECOM NW will assist the NRA, research the pay problem, and advise for corrective action.

11. Ready Reserve Screening Questionnaires need to be completed upon affiliation and annually thereafter.

12. The following NSIPS reports will be reviewed: Additional IDT Report, Un-adjudicated IDT Report, Authorized Absences Report, ET Report, RS/ET Suspense Report, IDT Unit Summary Report, IDT Verification Report, and Unexcused IDT Report.

13. Are the Feedback, Pending Feedback, and Earnings Report reviewed, and corrective action taken per reference (b)?

14. Are unit COs included in the Reserve Pay training program?

15. Trouble Tickets should be submitted within one working day of discovery of a pay problem and comments provided to SELRES. Ensure a Trouble Ticket Log is maintained and monitored until the pay issue is resolved.

16. Is there a schedule for the production and review of NSIPS reports on a monthly basis? The Un-adjudicated IDT Report should be generated weekly per reference (b).

17. Review Delay in Drill, Delay in Gain, and NSIPS Groupwise Account for:

   (a) Problem areas such as IDT periods being recorded in NSIPS more than three working days after completion of IDT periods or unnecessary removal and cancellation of IDT periods.

   (b) Compliance with administering authorized absences and un-adjudicated IDT periods.

   (c) Review Unit Pay Report Folders and Feedback Report Folders for indication that reports are being generated and reviewed with annotation of action taken.

18. Process Unsatisfactory Drillers. Ready Reservists must acknowledge their understanding of the Navy's policy concerning IDT. Use the Satisfactory Participation Requirements/Record of Unexcused Absences (NAVRES 1570/2) for missed IDT periods and to notify Reservists of accrued unexcused absences. The format for preparing this form is in Appendix A, Exhibit 4 of reference (b). Review MAS codes, bonus and RMGIB eligibility, members processed for admin separation or placed in probationary status.

RP-3   Advancements

POC: REDCOM NW NO1E

Ref: (a) BUPERSINST 1430.16D (Enlisted Advancement Manual)

Objective: To obtain data on the activity's advancement statistics.

1.   Compile raw and percentage advancement statistics for the last FY and compare the center to the region's average. Provide numbers to Senior Assessment Officer.

Determine for TAR and SELRES:

    a.   Total personnel TIR eligible ____.
    b.   Total personnel qualified ____.
    c.   Total personnel not qualified ____.
    d.   Total personnel participating ____.
    e.   Total personnel advanced ____.
    f.   Total personnel Passed but Not Advanced (PNA) ____.
    g.   Total personnel failed ____.
    h.   Percentages of advanced, PNA, Fails. ____, ____, ____.

2.   Customer Service. Observe actual customer service. Review the local examining board membership and procedures used to determine eligibility and review policy. Review procedures for the exam and test handling procedures. Review advancement worksheets for accuracy and completeness.

3.   Feedback. Collect feedback from FTS and SELRES regarding the test site accommodations. Collect feedback from FTS and SELRES on overall test taking procedures. Collect feedback from the test control officer on test handling procedures.

RP-4   Retention

POC: REDCOM NW NOE1

Ref: (a) NAVPERS 15878H (Retention Team Manual)
       (b) Career Information Program Management (NAVEDTRA
           10238-A)
       (c) CNRFINST 1040.1H (Naval Reserve Force Retention
           Program)

Objective: Retention of our highest quality Sailors is the key
to meeting the manpower challenge. The Command Career
Information Team is the cutting edge, and requires dedicated
support from the chain of command to be successful.

1.   Compile retention and percentage attrition statistics for the
last FY and compare the center to the region's average.

       a.   Total officer personnel onboard ____.
       b.   Total officer personnel lost to IRR ____.
       c.   Percentage officer personnel lost to IRR ____.
       d.   Total personnel beginning FY onboard ____.
       e.   Total personnel ending FY onboard ____.

2.   Compile retention data for the region for enlisted personnel
by FY.

       a.   Total enlisted personnel onboard ____.
       b.   Total enlisted losses ____.
       c.   Percentage enlisted personnel lost ____.
       d.   Total personnel eligible to reenlist ____.
       e.   Total personnel ineligible to reenlist ____.
       f.   Percentage eligible personnel reenlisted/extended for 24
months or more ____.

3.   Compile data for the region on Career Information course
completion for all FTS/SELRES/Unit Command Career Counselors.

       a.   Total FTS counselors assigned ____.
       b.   Total FTS counselors that have completed CI ____.
       c.   Total SELRES counselors assigned ____.
       d.   Total SELRES counselors that have completed CI ____.
       e.   Percentage of counselors who have completed CITC ____.

4.   Compile data for the region on required interviews by FY.

       a.   Total required interviews due this FY ____.
       b.   Total required interviews conducted this FY ____.
       c.   Percentage completed interviews ____.

5. Compile MGIB-SR/MGIB-SR kicker eligibility data.

    a. Total personnel MGIB-SR eligible ____.
    b. Total personnel MGIB-SR kicker eligible ____.
    c. Total MGIB-SR eligible personnel who went UNSAT ____.
    d. Total MGIB-SR termination letters completed ____.
    e. Total MGIB-SR eligible personnel who transferred to the
IRR ____.
    f. Total MGIB-SR suspension letters completed ____.

6. Compile SELRES bonus eligibility data.

    a. Total bonus eligible personnel ____.
    b. Total bonus eligible personnel who went UNSAT ____.
    c. Total bonus recoupment letters completed ____.

7. Observe customer service. Review Unit/SELRES/FTS Career
Counselor interview process. Review interview tracking systems
and completed required career counselor interviews. Review
EOS/EAOS tracking systems. All counselors are highly encouraged
to use the CIPM database-tracking software; it can be downloaded
from www.staynavy.navy.mil/. It is the most effective way to
track and maintain personnel counseling records.

8. Collect feedback from FTS and SELRES regarding career
information dissemination. Conduct a retention survey of SELRES
who have been onboard for less than one year regarding
indoctrination program, sponsor program, required interviews,
bonus, MGIB-SR eligibility and drill participation.

9. Does the Command Career Counselor perform duties in
accordance with reference (a)?

10. Review command indoctrination program. Is the command
career counselor involved?

11. Is pre-separation counseling conducted in accordance with
reference (a)?

12. Does CCC have access to NSIPS reports, BUPERS ACCESS, EDVR,
and service records to properly perform the duties assigned?

13. Have all required personnel attended CITC? Has CCC
requested a CITC training assist from REDCOM NW within the past
year?

14. Are Unit Career Counselor, Career Information Assistant, or Career Information Point of Contacts assigned for each Reserve unit? (Recommended client/counselor ration 30:1)

RP-5   Classification Management

POC: REDCOM NW N11B

Ref: (a) BUPERSINST 1001.39 (Administrative Procedures for
        Naval Reservists on Inactive Duty)
      (b) COMNAVRESFORINST 1001.5C (Administrative Procedures
        for the Selected Reserve (SELRES) and Participating
        Members of the IRR)

Objective: To achieve the most effective use of available
manpower.

1. Monitor progress of and counsel members affiliated in a
temporary paygrade: APG, NAVET, OSVET, CB (VET), or RESCORE-R,
who are placed in an "in-service training/direct conversion"
status.

2. Ensure completion of civilian skills information upon initial
affiliation or enlistment, reenlistment and annually.

3. Review tracking/monitoring procedure of NEC requests,
entries, or removal.

RP-6   Selected Reserve and FTS Personnel Service Records

POC: REDCOM NW N11B

Ref: (a) MILPERSMAN 1070 (Personnel Records)
   (b) COMNAVSURFRESFORINST 5400.8 (Naval Reserve Activity
       Support to Reserve Units)
   (c) OPNAVINST 1740.4A (U.S. Navy Family Care Policy)

Objective: To ensure Personnel Field Service Records are
adequately maintained to promote expeditious availability for
mobilization.

1. Review reenlistments, extensions, Record of Emergency Data,
Serviceman's Group Life Insurance, advancements/promotions,
enrollment in Defense Eligibility Enrollment Systems (DEERS), and
Family Care Plan Certificates. The PSD supporting the NRA will
provide service record support per the PASS Manual.

Note: For those NRAs with servicing PSDs, many of these
requirements are the responsibility of the PSD but the command
should still ensure their PSD is performing these actions.

HEALTH SERVICES

HS-1   Health and Physical Readiness

POC: REDCOM NW N41

Ref: (a) OPNAVINST 6110.1F (Physical Readiness Program)
       (b) NAVADMIN 063/00 (Physical Readiness Program Part I and
           II)

Objective: To verify proper implementation of the new Physical
Readiness Program guidance promulgated by references (a) and (b).

1.   Are safety precautions being followed per reference (a)?

2.   Is the COMNAVPERSCOM-approved software being utilized?

3.   Are accurate PFA results recorded in Evaluations and Fitness
Reports? Are Evaluations and Fitness Reports screened with the
most recent command PFA results?

4.   Are members failing to maintain standards notified per
reference (a).

5.   Is the Command Fitness Leader (CFL) certified per reference
(a)?

6.   Are all hands participating in Command Physical Training, as
prescribed in reference (a)?

7.   Is the Risk Factor Screening signed by member, AMDR, and CFL?

8.   Are body weight measurements taken the day of the PFA?

9.   When conducting a PFA cycle, is safety the primary concern?
Are the coordinators CPR qualified?

10.   Sample ten percent of the SELRES and 20 percent of the FTS
Physical Fitness Assessment (PFA) .records for compliance with
reference (a).

     a.   Are the new risk factor screening questions being used?

     b.   Is medical clearance to participate in the PFA obtained
when required?

     c.   Are the persons who "barely meet, or do not meet fitness
standards" assigned to the Command Directed Fitness Enhancement
Program?

HEALTH SERVICES

HS-2   Health Services

POC: REDCOM NW N91

Ref: (a) Manual of the Medical Department (P-117)
        (b) BUMEDNOTE 6150 (Navy Dental Treatment Record)
        (c) BUMEDINST 6150.35 (Medical Warning Tag)
        (d) BUMEDNOTE 6150 (Summary of Care)
        (e) SECNAVINST 6230.4 (Department of the Navy (DON)
            Anthrax Vaccination Implementation Plan (AVIP))
        (f) BUMEDINST 6230.15 (Immunizations and
            Chemoprophylaxis)
        (g) BUMEDNOTE 6230 of 20 Apr 98
        (h) COMNAVRESFORINST 6230.1B (Immunizations and
            Chemoprophylaxis of Naval Reserve Personnel)
        (i) COMNAVRESFORINST 6220.1 (Control of Occupational
            Exposure to Bloodborne Pathogens)
        (j) SECNAVINST 5300.30C (Management of Human
            Immunodeficiency Virus-1 (HIV-1) Infection in the Navy
            and Marine Corps)
        (k) COMNAVRESFORINST 5300.4A (Identification and Medical
            Management of Human Immunodeficiency Virus (HIV)
            Infection in the Naval Reserve)
        (l) BUPERSINST 1001.39C (Admininstrative Procedures for
            Naval Reservist on Inactive Duty)
        (m) COMNAVRESFORINST 1001.5C (Administrative Procedures for
            the Selected Reserve (SELRES) and Participating Members
            of the Individual Ready Reserve)
        (n) SECNAVINST 1770.3B (Management and Disposition of
            Incapacitation and Incapacitiation Benefits for Members
            of the Navy and Marine Corps Reserve)
        (o) COMNAVRESFORINST 1770.5 (Notice of Eligibility
            (NOE) Benefits Procedures)
        (p) NAVRESREDCOMREG22INST 6100.2A (Administration of
            Not Physically Qualified (NPQ) Naval Reservists)
        (q) BUMEDINST 6224.8 (Tuberculosis Control Program)
        (r) COMNAVRESFORINST 6000.1A (Guidance on Pregnant
            Servicewomen in the Naval Reserve)
        (s) COMNAVSURFRESFORINST 3502.1C (Surface Master
            Training Plan)
        (t) Physician's Desk Reference (to be current within
            one year of inspection date)
        (u) The Merck Manual (Sixteenth Edition)
        (v) Manual of Naval Preventive Medicine (NAVMED
            P-5010)
        (w) Navy Medical Department Guide to Malaria
            Prevention and Control (or Navy Environmental
            Health Command CD-Rom)

(x) BUMEDINST 6320.72 (NonNaval Health Care Program)
(y) OPNAVINST 5100.23E (Navy Occupational Safety and
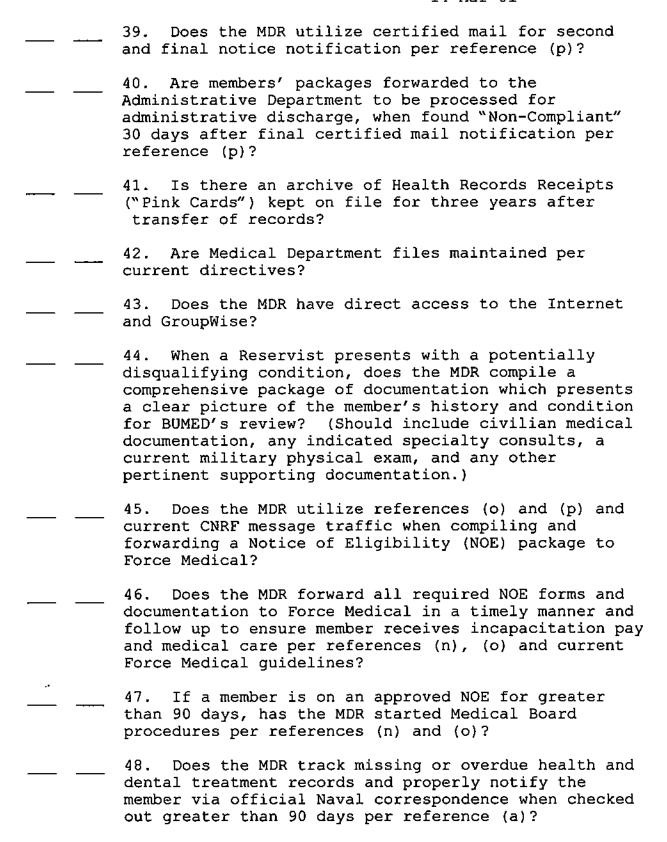Health (NAVOSH) Program Manual)

Note: This guide is not intended to be an all-encompassing
reference. This is intended as a basis to meet the medical
requirements of the Naval Reserve and to provide a newly
reporting Hospital Corpsman guidance on what is expected in their
position as Medical Department Representative. While this guide
is in effect, it should be expected that updates to policy may
have been provided through message traffic or COMNAVRESFOR
distribution. When these are received they should be maintained
as references, even though not listed in this guide.

Number of personnel assigned: RESERVE: _____ ACTIVE: _____
Number of records reviewed: RESERVE: _____ ACTIVE: _____

Center Current Medical Readiness:

	SELRES	ACTIVE
Physical exams:	____%	____%
Dental Readiness:	____%	____%
DNA:	____%	____%

YES NO

____ ____ 1. Is the MDR familiar with, and do they have access
to references (a) through (y)?

Medical and Dental Records

____ ____ 2. Is there a Medical Treatment record and a Dental
Treatment record onboard for every person attached to
this command or is a Health Record Receipt on file?

____ ____ 3. Are all Health and Dental Treatment Records in
current jackets and filing order per references(a) and
(b)?

____ ____ 4. Is the NAVMED 6150/20 Summary of Care cover sheet
on the inside left side completed with all allergies
listed and pencil entries made in the appropriate
areas per reference (d)?

____ ____ 5. Are DNA, Sickle Cell, G6PD, blood type results
and allergies appropriately annotated on the SF601?

____ ____ 6. Is the Anthrax vaccine being administered and
recorded IAW reference (e),or most current message
traffic, including:

____ ____   a. Are SF601 Anthrax Immunization Records being utilized for personnel receiving the Anthrax immunizations?

____ ____   b. Are administration time frames within program compliance standards for Anthrax?

____ ____   7. Do all members, at a minimum, have a reference audiogram documented?

____ ____   8. Are all forms within the Health Treatment Records authorized and in the proper filing order per reference (a)?

____ ____   9. Is the correct and complete patient information legibly recorded on all forms, reports, chits and documents within the treatment record per reference (a)?

____ ____   10. Are Health Record entries properly annotated per reference (a)? (Should include, date, command, signature and stamped, typed, or printed name, grade and rating of person making the entry?

____ ____   11. Are the proper entries made to the NAVMED 6150/4 Abstract of Service and Medical History reflecting annual training assignments, permanent change of station, etc. per reference (a)?

____ ____   12. Are the SF88 Medical Examination and SF93 Medical History forms properly completed with all required testing (including pap smears and mammograms for female personnel) completed, signed and verified for completeness and accuracy per reference (a), Chapter 15?

____ ____   13. Are copies of all physical examinations maintained for three years in the Medical Department archives per reference (a)?

____ ____   14. Is the Dental Treatment Record jacket prepared and maintained per reference (b)?

____ ____   15. Are the proper dental examinations and x-rays completed per reference (a), Chapter Six and/or most current COMNAVRESFOR Guidance?

____ ____   16. Are the proper forms utilized when a member is identified Class III per references (a), (b), and current COMNAVRESFOR guidance?

____ ____ 17. Are the proper page 13's drafted, signed and filed in the member's service record when they are being tracked in a NPQ or TNPQ status per reference (p)?

____ ____ 18. Is there an effective method utilized to track the Class III members assigned to Temporarily Not Physically Qualified (TNPQ) status?

____ ____ 19. Does the center have a Dentist locally assigned?

____ ____ 20. Does the center utilize the REDCOM Dental Team?

____ ____ 21. Are Class IV personnel identified, tracked, and scheduled for dental examinations or provided with the DD Form 2813, Department of Defense Reserve Forces Dental Examination, at the earliest possible opportunity and placed TNPQ until they are re-classified Class I or II per reference (a) and current COMNAVRESFOR guidance?

____ ____ 22. Are Active Duty, TAR, or approved Reserve personnel dental claims submitted in a timely manner to Military Medical Support Office (MMSO) for processing per reference (x)?

____ ____ 23. Are the appropriate procedures followed for dental claims submission and prior approval requests to MMSO per reference (x)?

____ ____ 24. Are Full Time Support personnel seen by a dentist for dental exam and cleanings annually per reference (a)?

Immunizations

Are the Immunization and Biohazard programs being administered per references (f) through (i)? Specifically:

____ ____ 25. Are the personnel administering immunizations (MDR or Medical Department Selected Reserve) properly trained to perform immunizations per references (f) through (i)?

____ ____ 26. Are patients properly screened prior to receiving immunizations per references (f) through (i)?

____ ____ 27. Are current required immunizations available on station and administered appropriately to all hands?

____ ____ 28. Is the appropriate resuscitation equipment and medications readily available for emergency use per references (f) and (g)?

____ ____ 29. Is there a monitoring system in place to ensure vaccines are stored safely and properly per references (f) and (g)?

____ ____ 30. Is the Biological Refrigerator properly labeled per reference (i) and reference (y)?

____ ____ 31. Does the Medical Department Representative (MDR) procure biologicals in the appropriate manner?

____ ____ 32. Are all immunizations documented on the SF601 per references (a), and (e) through (g)?

____ ____ 33. Is biomedical waste disposed of within the proper guidelines per references (e) through (i) and (y)?

Immunization Readiness: Percentage of personnel that require:

Tetanus   _____ %
Yellow Fever   _____ %
Polio   _____ %
Influenza   _____ %
PPD   _____ %

Number of personnel currently on Anthrax regime: _____
Number of personnel overdue for Anthrax: _____

General Administration

____ ____ 34. Is the Reserve Standard Training, Administration and Readiness Support (RSTARS) Medical Module (MM) the current version?

____ ____ 35. Does data in the RSTARS MM system accurately reflect data documented in the Health and Dental Records?

____ ____ 36. Is the MEDRED the current version?

____ ____ 37. Does the MDR submit the MEDRED report to REDCOM by the tenth of every month?

____ ____ 38. Does the MDR notify the member of any over due medical/dental items by Naval correspondence per reference (p)?

___ ___ 39. Does the MDR utilize certified mail for second and final notice notification per reference (p)?

___ ___ 40. Are members' packages forwarded to the Administrative Department to be processed for administrative discharge, when found "Non-Compliant" 30 days after final certified mail notification per reference (p)?

___ ___ 41. Is there an archive of Health Records Receipts ("Pink Cards") kept on file for three years after transfer of records?

___ ___ 42. Are Medical Department files maintained per current directives?

___ ___ 43. Does the MDR have direct access to the Internet and GroupWise?

___ ___ 44. When a Reservist presents with a potentially disqualifying condition, does the MDR compile a comprehensive package of documentation which presents a clear picture of the member's history and condition for BUMED's review? (Should include civilian medical documentation, any indicated specialty consults, a current military physical exam, and any other pertinent supporting documentation.)

___ ___ 45. Does the MDR utilize references (o) and (p) and current CNRF message traffic when compiling and forwarding a Notice of Eligibility (NOE) package to Force Medical?

___ ___ 46. Does the MDR forward all required NOE forms and documentation to Force Medical in a timely manner and follow up to ensure member receives incapacitation pay and medical care per references (n), (o) and current Force Medical guidelines?

___ ___ 47. If a member is on an approved NOE for greater than 90 days, has the MDR started Medical Board procedures per references (n) and (o)?

___ ___ 48. Does the MDR track missing or overdue health and dental treatment records and properly notify the member via official Naval correspondence when checked out greater than 90 days per reference (a)?

___ ___ 49. Is the Medical Department clean, uncluttered and orderly in appearance per reference (a)?

___ ___ 50. Are Treatment Records filed and maintained in the appropriate storage containers when not in use per reference (a)?

___ ___ 51. Has(Have) the MDR(s) attended any of the following courses?

_____ Reserve Medical Administration Course

_____ Audiometric Technician Course

_____ TRICARE Intro Course

LOGISTICS AND MANAGEMENT

LM-1   Logistics And Maintenance

POC: REDCOM NW N41

Ref: (a) NAVSUPINST 4200.85C (DON Simplified Acquisition
           Procedures)
       (b) NAVSUPINST 4200.81B
       (c) NAVSUPINST 4200.94 (DON Policies and Procedures for
           GCPC Program)
       (d) NAVSUP PUB 485 (Supply Afloat)
       (e) COMNAVRESFOR P4000.1 (Naval Reserve Logistics Supply
           Handbook)
       (f) NAVFAC PUB 300

Objective: Focus of the assessment will be ensuring assigned
Selected Reservists are receiving effective customer service
from the activity. Activity logistics and maintenance will also
be reviewed to verify the activity is operating efficiently and
in accordance with guiding references.

1. Verify required ADP equipment purchases have proper prior
approval from REDCOM NW per references (a) and (b).

2. Verify adequate milstrip follow up per reference (d).

3. Verify Material Obligation Validations are being
accomplished per reference (d).

4. Verify requisition priority is assigned correctly per
reference (d) and "emergent" requisition priorities assigned
outside reference (d) guidelines are not a matter of routine.

5. Check that SKs are verifying eligibility prior to ordering
clothing per reference (e).

6. Verify that the Reserve Clothing Issue Management System
(RCIMS) program is being utilized properly per reference (e).

7. Verify that the activity aggressively monitors and has an
effective means of contacting personnel to pickup clothing per
reference (e).

8. Verify that individual clothing records are being maintained
per reference (e).

9. Verify that the activity is providing an alteration service per reference (e). Selected Reservists should be receiving clothing alterations within 30 days of turning in an item to the activity for alteration. Check 25% of the most recent (six months) items turned in for alteration. What is the average time from turn-in to return to the Selected Reservist? Provide information to senior assessment officer.

10. Sample ten percent of the most recent uniform orders and verify that uniform items are being received within 30 days of request. Does the activity have an effective tracking system for uniform orders?

11. Verify that clothing or payment is received from members who are discharged per reference (e).

12. Verify that replacement orders for clothing are in compliance with per reference (e).

13. Verify that bulk clothing orders are processed per reference (e).

14. Verify that clothing documents are submitted for payment with proper signature per reference (e).

15. Verify the activity has limited access to a separate clothing storeroom per reference (e).

16. Verify that satisfactory Rations-in-Kind (RIK) are provided to eligible personnel per reference (e).

17. Ensure that RIK are ordered and are within monetary limits established by per reference (e).

18. Verify meal signature records and audits are being accomplished per reference (e) para 4305.

19. Verify the GCPC is being utilized to procure RIK per reference (e) and standard document number and accounting data is being utilized for all subsistence transactions.

20. Verify that proper documentation of eligibility for contract berthing is maintained and that commercial berthing is assigned only after BOQ/BEQ rooms are determined to be not available per reference (e).

21. Verify there is a local instruction to establish berthing sign-up procedures and member responsibilities per reference (c).

22. Verify Letters of Agreement are in place for purchases of rooms exceeding $2,500 per reference (c).

23. Ensure the Bachelor Leased Housing program is being administered under the provisions of reference (b).

24. Verify that the activity has reasonable control methods in place to preclude no-shows in contract berthing per reference (e).

25. Verify that Defense Property Accounting System (DPAS) is being updated as equipment is received, shipped, or custodian changed per reference (e).

26. Per reference (e), ensure that inventories are conducted as required to maintain accountability of assigned government property.

27. Verify that excess property is disposed of/transferred in a timely manner per reference (e).

28. Conduct a visual inspection and a quick check of fluid levels/tires on activity vehicles. Vehicles should be well maintained, clean and safe. Verify that there is a reasonable plan and records for vehicle control and maintenance, and there are no practices that would lead to fraudulent or unauthorized use of the assigned government vehicles. Discuss detailed requirements of reference (f) with the assigned Storekeeper.

29. Verify there are vehicle maintenance records per reference (f) and copies of maintenance performed for GSA leased vehicles.

30. Ensure adequate controls on check-out and check-in of government vehicles per reference (f) are in place and being followed.

LOGISTICS AND MANAGEMENT

LM-2   Safety

POC: REDCOM NW N41

Ref: (a) COMNAVSURFRESFOR P-5100.1B (Occupational Safety and
         Health Program Guide)
     (b) OPNAVINST 5100.23E (Navy Occupational Safety And Health
         (NAVOSH)Manual)

Objective: To review general safety procedures and awareness at
the center. A walk-through will be conducted of the facility
being assessed. In addition to the following areas,
documentation directly related to significant discrepancies
identified during the walk-through will be reviewed per
requirements listed in references (a) and (b).

The following areas will be reviewed per reference (a):

1.   Annual Safety Inspection (ASI) completed.

2.   Required training completed.

3.   Semi-annual fire drills conducted.

4.   Respirators used when required.

5.   Hazardous material labeled and MSDS available.

6.   Waste materials not mixed in single unlabeled containers.

7.   Baseline industrial hygiene inspection performed (including
annual hygiene inspections if required).

8.   On/off duty mishaps documented.

9.   Does the command use the suggestions listed in reference (a)
for a good safety program?

10.   Does the command review local base traffic regulations as
appropriate, and promulgate to all personnel? Is a record of
training kept?

11.   Does the Traffic Safety Office provide information to all
hands on Safe Driver Training or Defensive Driver Training
courses that are available locally?

12.   Does the command promote special emphasis on Safe Driving before holidays?

13.   Does the command promote special training emphasis on seasonal weather driving precautions in locations with unique driving situations?

LOGISTICS AND MANAGEMENT

LM-3   Government Commercial Purchase Card

Ref: (a) NAVSUPINST 4200.94 (DON Policies and Procedures for
           GCPC Program)
       (b) NAVRESREDCOMNWINST 4205.3A (Internal Operating
           Procedures for the Use of the Government Commercial
           Purchase Card Program (CitiBank MC)
       (c) NAVRESREDCOMNWINST 4205.1B (Regulation of
           Procurement Authorization)

Objective: To review Government Commercial Purchase Card
procedures per compliance with current directives.

1. The Government Commercial Purchase Card (GCPC) shall be used
as a procurement method for all requirements of $2,500 or less,
$2,000 for facilities, and to the fullest extent possible as a
payment method for requirements over $2,500, per reference (a).

2. Each GCPC cardholder has a Certificate of Appointment (SF
1402) on file documenting his/her contracting authority
indicating cardholder limits, per reference (a).

3. Cardholders have completed all training requirements in
accordance with reference (a).

4. Funds are always available, and a Request for Contractual
Procurement (NAVCOMPT 2276) is complete and approved before
effecting purchases using the GCPC, per reference (a).

5. The list of items requiring special attention is being
screened prior to effecting GCPC purchases, per reference (a).

6. The GCPC statement is being verified for accuracy, and
purchase requests in the GCPC file are being matched to each
line entry on the statement, per reference (a).

7. A minimum of a two-way separation of function is being
maintained in all GCPC purchases, per reference (a).

8. The electronic Citibank statement is being verified,
processed, and forwarded for payment within three days after the
end of the billing cycle, per reference (b).

9. The GCPC program is being reviewed semi-annually with copy of findings forwarded to REDCOM NW (N4), per reference (b).

10. A Statement of Questioned Item list is being reviewed per reference (a).

LOGISTICS AND MANAGEMENT

LM-4   Procurement

POC: REDCOM NW N41

Ref: (a) NAVSUPINST 4200.85C (DON Simplified Acqusition
           Procedures)
       (b) NAVRESREDCOMNWINST 4205.1B (Regulation of
           Procurement Authorization)
       (c) NAVRESREDCOMNWINST 4205.3 (Internal Operating
           Procedures for the Use of the Government
           Commercial Purchase Card Program (CitiBank MC)
       (d) COMNAVRESFOR P4000.1 (Naval Reserve Logistics
           Supply Handbook)

Objective: To review procurement procedures and verify
compliance with current directives.

1.   The Confidential Financial Disclosure Report (OGE 450) is
completed on affected personnel, on file, and forwarded to
REDCOM NW for review, per reference (a).

2.   The outstanding and completed purchase order and delivery
order files are being maintained in accordance with reference
(a).

3.   Purchase authority is being adhered to in accordance with
reference (b).

4.   Requests for one-time increases in purchase authority are
requested in accordance with reference (b) and documented in the
purchase file.

5.   Purchase requests are being completed and signed before
effecting any purchase actions, per reference (a).

6.   Purchase request descriptions set forth the essential
physical and functional characteristics of the supplies/services
required, per reference (a).

7.   Purchase requests indicate that required government sources
of supply were screened prior to effecting open market
purchases, per reference (a).

8.   The list of Items Requiring Special Attention is being
reviewed prior to effecting purchases, per reference (a).

9.   Unpriced orders are being issued per reference (a).

10.   Modifications (SF-30) are being prepared and issued in accordance with reference (a).

11.   The Procurement Summary of Actions (DD-1057) is submitted correctly and within prescribed periods.

12.   Requirements are not being split to circumvent purchase authority limitations, per reference (a).

13.   Delivery orders are being prepared in accordance with reference (a).

14.   Procurement bulletins from the Navy Regional Contracting Center are being reviewed by the Commanding Officer and Storekeeper.   There are copies on file, per reference (d).

15.   Solicitation for a minimum of three price comparisons is being accomplished for purchase actions over $2,500 and orders placed against multiple award schedules (MAS) over $2,500 in accordance with reference (a).

16.   Invoices for unpriced delivery orders are being certified to be fair and reasonable.   The Commanding Officer is signing this certification, per reference (a).

17.   Printing requirements are being procured through the nearest Defense Printing Detachment Office per reference (d).

18.   All personnel involved in the simplified acquisition function (e.g., contracting officers, buyers, cardholders, etc.) have successfully completed a NAVSUP authorized Simplified Acquisition course or NAVSUP cardholder training, per reference (b).

19.   Annual Standards of Conduct/Ethics Training is being completed in accordance with reference (a).

20.   When available through the supply system, known requirements are requisitioned sufficiently in advance to avoid local purchase action, per reference (d).

21.   Appropriate DFAR/FAR clauses are included in all delivery orders per reference (a).

22. Is the center in strict compliance with purchase authority as delegated in NAVRESREDCOMNWINST 4205.1B? Requests for one-time increases must be documented in the purchase file.

23.   Does the center ensure timely and accurate submission of required reports (i.e. DD-1057 and NAVSUP 1328's)?

FINANCIAL MANAGEMENT

FM-1   O&MNR Budget And Operating Target Management

POC: REDCOM NW N8

Objective: O&MNR Control of Funds

1.   Are there any actual, apparent or potential violations of 31 U. S. Code 1301 on any assigned Operating Target(s), direct or reimbursable? (Reference: FMR Volume 14 and NAVSO P-1000)

2.   Have any overall OPTAR authorizations been exceeded? If so, identify and explain situation. (Reference: FMR Volume 14 and NAVSO P-1000)

3.   Are funds available before an obligation is generated and an item is procured? (Reference: FMR Volume 14 and NAVRESREDCOMNWINST 7300.2 series)

4.   Is the obligation rate goal of 99.7% met at the end of each fiscal quarter on all OPTARs? (Reference: COMNAVRESFOR P7100.1 series and NAVRESREDCOMNWINST 7300.2 series)

5.   Are correct job orders used on each obligation to properly accrue expenses? (Reference: FMR Volume 4 and NAVRESREDCOMNWINST 7300.2 series)

6.   Are all fences assigned to OPTARs adhered to? (Reference: FMR Volumes 3 & 14 and NAVRESREDCOMNWINST 7300.2 series)

7.   Is all audit trail documentation on file for each obligation issued? (Reference: FMR Volumes 10 & 14 and NAVRESREDCOMNWINST 7300.2 series)

8.   Are obligation batches and Document Status Logs forwarded to N8 each Wednesday? (Reference: NAVRESREDCOMNWINST 7300.2 series)

9.   Are Status of Funds Reports forwarded to N8 each month? (Reference: COMNAVRESFOR P7100.1 series and NAVRESREDCOMNWINST 7300.2 series)

10.   Is the obligation rate for 31 July reporting period 80% or greater? (Reference: FMR Volume 3, COMNAVRESFOR P7100.1 series, and NAVRESREDCOMNWINST 7300.2 series)

      a.   Copy of Status of Funds for end of July required (current year and/or prior years as applicable for time period of inspection).

11. Is there evidence that the Commanding Officer reviews Status of Funds Reports at a minimum monthly? (Reference: NAVRESREDCOMNWINST 7300.1 series)

12. Are reimbursable expenses incurred before reimbursable funding is authorized? (Reference: FMR Volumes 11A & 14, COMNAVRESFOR P7100.1 series, and NAVRESREDCOMNWINST 7300.2 series)

13. What procedures are employed to detect and prevent unauthorized phone use? (Reference: Volume 10 and NAVSO P-1000)

14. Are copies of activity Budget Calls and Mid-Year Review Calls on file? (Reference: FMR Volume 3 and NAVRESREDCOMNWINST 7300.2 series)

15. Are copies of Resource Requests kept on file? (Reference: NAVRESREDCOMNWINST 7300.2 series)

16. Are outstanding current year and prior year(s) obligations validated? (Reference: FMR Volumes 1-15, COMNAVRESFOR P7100.1 series, and NAVRESREDCOMNWINST 7300.2 series)

17. Are document files supporting OPTAR entries maintained for all active fiscal years (accounting life of appropriation)? (Reference: FMR Volume 4 and NAVRESREDCOMNWINST 7300.2 series)

Note: FMR Volumes are available at *www.dtic.mil/comptroller*

FINANCIAL MANAGEMENT

FM-2   Reserve Personnel Navy (RPN)

POC: REDCOM NW N8

Objective: Financial Integrity

1.   Are all funding restrictions between discretionary and fenced accounts adhered to? (Reference: FMR Volume 14, COMNAVRESFOR P7100.1 series, and NAVRESREDCOMNWINST 7300.2 series)

2.   Are cost estimates on applications done prior to the applications being entered into RIMS (OM)? Are funds available prior to entry of the IDTT applications into RIMS(OM)? (Reference: FMR Volumes 3& 4, COMNAVRESFOR P7100.1 series, and NAVRESREDCOMNWINST 7300.2 series)

3.   Are cost estimates generated by RIMS(OM) validated against manual estimates? What action is taken if estimates are not within ten percent? (Reference: NAVRESREDCOMNWINST 7300.2 series)

4.   Do the obligation figures on the OPTAR Status Display agree with the obligation figures on the Memorandum Record Report? (Reference: NAVRESREDCOMREG22INST 7300.2 series)

5.   What action is taken with canceled orders? (Reference: COMNAVRESFOR P7100.1 series and NAVRESREDCOMNW22INST 7300.2 series)

6.   What are follow-up procedures for outstanding travel claims? (Reference: FMR Volume 9, COMNAVRESFOR P7100.1 series and NAVRESREDCOMNWINST 7300.2 series)

7.   Is all financial documentation on file to support each IDTT order obligation? (Reference: FMR Volumes 3, 9, & 14 and NAVRESREDCOMNWINST 7300.2 series)

8.   Is there a means to track obligations for all program accounts (fenced and discretionary)? (Reference: NAVRESREDCOMNWINST 7300.2)

9.   Are batches forwarded to N8 at a minimum weekly? (Reference: NAVRESREDCOMNWINST 7300.2 series)

10. Travel Claims: Provide the following information to the senior inspector.

a. Sample 20 percent of the most recent travel claims processed (within 120 days). Does the total processing time exceed 20 working days of the date the claim was submitted?

b. Does the RESCEN forward the claim to the processing activity, Personnel Support Detachment (PSD), within two working days?

c. Does PSD pay the claim within ten working days?

d. Does the RESCEN have an aggressive tracking system for travel claims?

Note: FMR Volumes are available at www.dtic.mil/comptroller

FINANCIAL MANAGEMENT

FM-3   Government Travel Charge Card (GTCC)

POC: REDCOM NW N8

Objective: Program Compliance

1.   Have all cardholders signed either a Page 13 or program acknowledgement letter? (Reference: COMNAVRESFORINST 4650.1 series and FMR Volume 9)

2.   Is there evidence that GTCC management reports (account listing, delinquency report and transaction activity report) are reviewed? What action is taken with account problems? (Reference: FMR Volume 9 and COMNAVRESFORINST 4650.1 series)

3.   Do all travel orders contain required statements regarding GTCC? (Reference: FMR Volume 9)

4.   Do all eligible assigned personnel (excluding exempt personnel) have a GTCC account or have an application pending? (Reference: FMR Volume 9)

Note: FMR Volumes are available at www.dtic.mil/comptroller

SC-1   Information And Personnel Security

POC: REDCOM NW Assistant Security Manager

Ref: (a) SECNAVINST 5510.30A (Department of the Navy (DON)
           Personnel Security Program)
       (b) SECNAVINST 5510.36 (Department of the Navy (DON)
           Information Security Program Regulation)
       (c) COMNAVRESFORINST 5500.3A (COMNAVRESFOR Security
           Manual)

Section 1. General

Objective: To review subordinate command security programs and
ensure they are given the attention necessary to effectively
protect personnel, assets, and facilities against all threats,
internal and external, which could impact the mission of the
activity or reduce readiness. Maintaining high standards of
security is an item of primary importance at all levels of
command.

PROGRAM MANAGEMENT

1.   Does the command hold the current edition of SECNAVINSTs
5510.36 and 5510.30A?

2.   Does the command hold the references applicable to its
security program?

3.   Are waivers or exceptions submitted to the CNO (N09N2) for
all conditions that prevent compliance with SECNAVINST 5510.36?

COMMAND SECURITY MANAGEMENT

1.   Is the security organization in the command defined?

2.   Has the Commanding Officer:

     a.   Issued a command security instruction?

     b.   Approved an emergency plan for the protection and
destruction of classified information?

     c.   Established an Industrial Security Program?

     d.   Ensured that the security manager and other personnel
have received security education and training?

e. Ensured that personnel are evaluated on the handling, creation or management of classified information on performance evaluations?

3. To implement the Information Security Program (ISP) and Personnel Security Program (PSP), has the Commanding Officer designated in writing:

   a. Security Manager
   b. Top Secret Control Officer
   c. Top Secret Control Assistant
   d. Assistant Security Manager
   e. Security Assistant(s)
   f. COMSEC Material System Custodian and alternate
   g. Naval Warfare Publication Custodian
   h. NATO Control Officer and alternate
   i. One or more Contracting Officer's Representatives?
   j. Information Systems Security Manager?
   k. Information Systems Security Officer?
   l. Special Security Officer?
   m. Security Officer

4. Is the command security manager named and identified to command personnel on command organizational charts, telephone listings, rosters, or other media?

5. Does the security manager have direct and ready access to the appointing official?

6. Is the security manager exercising overall management of the program?

7. Does the security manager have sufficient authority and staff to function effectively?

8. Do the SSO and security manager coordinate and cooperate in the command program (only for SCI billet)?

9. Has the command security manager:

   a. Formulated, coordinated, and conducted a command security education program?

   b. Kept command personnel abreast of all changes in security policies and procedures?

c.   Reported and investigated all security threats and
compromises?

d.   Promptly referred all incidents to NCIS under their
jurisdiction?

e.   Coordinated the preparation of the command Security
Classification Guides?

f.   Maintained liaison with the PAO on proposed media
releases?

g.   Developed security procedures for visitors who require
access to classified information?

h.   Implemented regulations concerning the disclosure of
classified information to foreign nationals?

10. Are security functions performed by another command covered
by a written Security Servicing Agreement?

SECURITY EDUCATION AND TRAINING

1.   Does the command have an effective security education
program?

2.   Are indoctrination briefings given?

3.   Are orientation briefings given?

4.   Are annual refresher briefings given?

5.   Are Counterintelligence briefings given?

6.   Are foreign travel briefings given?

7.   Do procedures ensure the Security Termination Statement is
executed when required?

MARKING CLASSIFIED INFORMATION

1.   Are all classified documents and their portions properly
marked to include all applicable basic and associated markings?

2.   Do documents, marked classified for training and test
purposes, include a statement indicating that the documents are
actually unclassified?

3. Are classified files or folders marked on the outside or have the appropriate Standard Form attached to indicate the highest overall classification level of the information contained therein?

4. Are all classified materials such as Information Security media, maps, charts, graphs, photographs, slides, recordings, and videotapes appropriately marked?

SAFEGUARDING

1. Does the command ensure that all DON employees (military and civilians) who resign, retire, separate, or are released from active duty return all classified material in their possession?

2. Does the command have control measures in place for receipt and dispatch of Secret information?

3. Are control measures in place to protect the unauthorized access to command TS, Secret, or Confidential information?

4. Are SFs 703, 704, and 705 placed on all classified information when removed form secure storage?

    a. Are SFs 706, 707, 708, and 712 being utilized on all classified IS media?

    b. Are classified typewriter ribbons, carbon sheets, plates, stencils, drafts, and notes controlled, handled, and stored per their classification level?

5. Has the command established procedures for end-of-the-day security checks, to include the use of the SFs 701 and 702?

6. Are classified vaults, secure rooms, and containers made an integral part of the end-of-the-day security check?

7. Are procedures in place to ensure that visitors have access only to information to which they have a need to know and the appropriate level of clearance?

8. Are procedures in place for classified meetings held at the command or hosted by cleared facilities?

TRANSMISSION AND TRANSPORTATION

1. Is classified information transmitted or transported only per specific requirements?

2. Are special types of classified information transmitted or transported per their governing instructions?

3. Are command personnel advised not to discuss classified information over unsecured lines?

4. Is classified information transported or transmitted outside the command receipted for?

5. Does the command authorize the hand carry or escort of classified information, via commercial aircraft, only if other means are not available and there is an operational or contractual requirement?

STORAGE AND DESTRUCTION

1. Does the command ensure that weapons, money, jewelry, or narcotics are not stored in the same security container used to store classified information?

2. Does the command ensure that no external markings on command security containers reveal the level of information stored therein?

3. Does command security equipment meet the minimum standards of GSA?

4. Does the command mailroom have GSA-approved security containers to store USPS First Class, Certified, and Registered mail overnight?

5. Are specialized security containers securely fastened to the structure, rendering them non-portable?

6. Has the command removed all containers manufactured by Remington Rand and Art Metal Products, Inc.?

7. Are command container combinations changed:

     a. By individuals who possesses the appropriate clearance level?

b. Whenever the container is first put into use?

c. Whenever an individual knowing the combination no longer requires access to the container (unless other sufficient controls exist to prevent access)?

d. Whenever a combination has been subjected to possible compromise?

e. Whenever the container is taken out of service?

8. Are command container combinations marked and accounted for per the classification level of the information stored therein?

9. Is there a SF 700 affixed inside each command security container?

10. Does the SF 700 include the names, home addresses, and phone numbers of persons having knowledge of the combination?

11. Has the command established procedures for command key and padlock accountability and control?

12. Are command locks repaired only by authorized personnel, who have been subject to a trustworthy determination or who are continuously escorted?

13. Is command classified information destroyed when no longer required?

14. Do all command shredders, pulverizer, and disintegrater meet the minimum requirements?

15. Has the command established effective procedures for the destruction of classified information?

16. When filled, are command burn bags sealed and safeguarded per the highest overall classification level of their contents?

17. Is controlled unclassified information destroyed per their governing instructions?

LOSS AND ACTUAL OR POSSIBLE COMPROMISE OF
CLASSIFIED INFORMATION

1. Since the last inspection, has the command had any incidents involving a loss and/or compromise of classified information?

2. If a possible loss or compromise occurred, was a PI conducted?

3. If significant command weaknesses or a confirmed loss or compromise occurred, was a JAGMAN investigation conducted?

4. When the loss or compromise of classified information or equipment has occurred, is appropriate investigative and remedial action taken to ensure further compromises do not recur?

5. Is appropriate and prompt corrective action taken whenever a knowing, willful, or negligent compromise or repeated administrative disregard of security regulations occurs?

6. Are military and civilian personnel made aware that they are subject to administrative sanctions for knowingly, willfully, or negligently committing security violations.

7. Have all personnel been advised of the requirement to report any contact with any individual regardless of nationality, in which unauthorized access is sought or personnel are concerned that they may be the target of exploitation by a foreign entity?

PERSONNEL SECURITY

1. Are only U.S. citizens nominated for security clearance determinations?

2. Are only U.S. citizens assigned to sensitive duties?

3. Have policies concerning granting of access to non-U.S. citizens been adhered to?

4. Have the policies concerning the assignment of non-U.S. citizens to sensitive positions been adhered to?

5. Is CNO (N09N) approval obtained before appointment of non-U.S. citizens to civilian sensitive positions?

6. Is U.S. citizenship verified before requesting PSIs?

7. Are requests for PSIs kept to the minimum level of investigation necessary?

8. Is the prohibition against conducting PSIs locally being observed?

9. Are PSIs requested only when necessary?

10. Is the appropriate investigation for access or assignment being requested?

11. Are PSI requests prepared and submitted as required?

12. Is follow-up action taken when appropriate?

13. Are investigative reports controlled and safeguarded as required?

14. Is the filing of investigative reports in official personnel records strictly prohibited and such prohibition observed?

15. Is verification sought when there are indications a prior investigation could satisfy current needs?

16. Are security criteria and adjudication guidelines being applied in personnel security determinations?

17. Are records of personnel security determinations properly maintained?

18. Are adverse personnel security determination procedures being strictly observed?

19. Is there a program for continuous evaluation of eligibility for access or assignment to sensitive duties?

20. Are command clearances and access determinations forwarded to DON CAF?

21. Is access granted only to those eligible?

22. Are interim clearances properly granted and recorded?

23. Does the SSO advise the security manager when a final SCI access determination is made and furnish investigation data?

24. Are denials or revocations of clearance processed as required?

25. Is access granted only to those with a need to know?

26. Are restrictions on access by non-U.S. citizens being observed?

27. Are personnel with established security clearance eligibility prohibited from gaining access to classified information until they have received an initial security briefing and signed a SF-312?

SECURITY

SC-2   Physical Security

POC: REDCOM N41

Section 1. **General Administration**

Ref: (a) OPNAVINST 5530.14C (Navy Physical Security)
      (b) DOD INSTRUCTION 2000.16

Objective: To review physical security procedures as carried out by the command and determine compliance with governing directives.

1. Is the physical security officer designated in writing per reference (a), paragraph 0110?

2. Has a comprehensive Loss Prevention and Physical Security instruction been established per reference (a), paragraph 0200 and 0329?

3. Is there a current physical security review and assessment program in place per reference (a), paragraph 0114?

4. Are physical security surveys conducted per reference (a) paragraph 0115? Is the Survey current, complete, and accurate per reference (a), paragraph 0117.c.?

5. Is parking of privately owned vehicles near doorways leading into or from areas used for the manufacture, repair, rework, storage, etc., denied per reference (a), paragraph 0510?

6. Is there a current education program that includes ongoing physical security, crime prevention, loss prevention, antiterrorism and local threat conditions per reference (a), Appendix 3, paragraph 1.ac.?

7. Are all newly assigned personnel provided a physical security indoctrination per reference (a), paragraph 0900.b.(3)?

8. Is there a written agreement (Inter-Service Support Agreement) for security support by the host command or nearest major military command; or (if applicable) an agreement with the local police department per reference (a), paragraph 0115.a. and b.?

9. Does the Installation have a current Physical Security/Force Protection Plan per reference (a), paragraph 0115.(4)?

10. Does the Physical Security Plan establish a system for alerting and evacuating personnel per reference (a), paragraph 0201.d.?

NOTE: A set of recognizable alarms should be developed for potential emergencies, each with their own set of reactions, with a means to immediately sound those alarms and frequent drills conducted that will familiarize all personnel with individual responsibilities.

11. Does the Installation have a current Terrorism Incident Response plan per reference (a), paragraph 0115.(6)?

NOTE: NAVCRIMINVSERV will provide a threat evaluation of your Installation upon request. Your servicing NAVCRIMINVSERV component will also provide, upon request, a comprehensive "annual area" threat assessment. Your request should be in writing at least 45 days in advance. Request should specify what threats you are concerned with (terrorism, foreign intelligence, activist and/or criminal).

12. Are physical security/force protection measures addressed in lease agreements per reference (a), paragraph 0123.a.?

13. Is the perimeter of the installation and restricted area fencing protected by adequate lighting per reference (a), paragraph 0701?

NOTE: Requirements for protective lighting at an activity will depend upon the situation and the areas to be protected. Where lighting is impractical, additional compensating measures must be established.

Section 2. **Key and Lock Control**

Ref: (a) OPNAVINST 5530.14C (Navy Physical Security)

1. Has a comprehensive Key and Lock Control program been established per reference (a), paragraph 0304?

2. Does the Key Control Officer maintain all appropriate logs records and conduct frequent inventories of all issued keys per reference (a), paragraph 0304.b.?

3.   If removable padlocks and cores are used, are they rotated to prevent compromise per reference (a), paragraph 0304?

Section 3. **Force Protection**

Ref: (a) OPNAVINST 5530.14C (Navy Physical Security)
       (b) DOD Instruction 2000.16

1.   Does the activity have a current combating terrorism plan per reference (b), paragraph 5.g.?

2.   Does the Security Officer provide members of the activity periodic terrorism awareness briefings per reference (a) Appendix III, paragraph 1.af?

3.   Has a command Antiterrorism Training Officer (ATTO) been designated in writing per reference (b)?

NOTE: The ATTO must be an E-6 or higher or equivalent civilian (GS-7), who has completed the minimum required training to conduct Level I Antiterrorism Training.

4.   Has the ATTO completed formal Level II training per reference (b)?

5.   Does the ATTO provide Level I briefings per reference (b)?

6.   Does the activity have a current Physical Security, Force Protection and Terrorism Incident Plan, that incorporates facilities, equipment, trained personnel, and procedures into a comprehensive effort designed to provide maximum antiterrorism protection to personnel and assets, per references (a) and (b)?

      a.   Have these plans exercised per reference (b)?   Dates and ratings?

NOTE: These exercises will determine the ability of the Commanding Officer to protect personnel and assets against terrorist attack and the consequences of a successful terrorist attack. The greatest loss of life inflicted by terrorist attacks on DOD personnel has resulted from Improvised Explosive Devices (IED) attacks. These exercises should include instruction on recognizing and reporting concealed IEDs (e.g., in packages and vehicles). The host Commander is responsible for coordinating the physical security plans for all units on the installation).

b. Are these plans reviewed at least annually, or when the terrorism threat level changes per reference (b)?

NOTE: This will ensure the design and implementation of the physical security portion of the AT/FP Program is consistent with local terrorism threat conditions and addresses the need for potential enhancements.

7. Does the activity have a Terrorism Threat Assessment Plan prepared per reference (b), enclosure (1), paragraph E1.1.9? Date of plan?

8. Has the activity Commanding Officer developed measures or actions for each THREATCON level utilizing at least the minimum number of measures/actions enumerated for each THREATCON per reference (b)?

9. Has the Commanding Officer prepared a terrorism physical security vulnerability assessment for his/her facilities, installations, and operating areas within his/her area of responsibility per reference (b)?

NOTE: The assessment must address the broad range of physical threats to the security of personnel and assets and shall be conducted at least once every three years. These assessments should consider the range of identified and projected terrorism threats against a specific location or installation personnel, facilities and other assets. The assessment should identify vulnerabilities and solutions for enhanced protection of DOD personnel and resources.

10. Does the activity Commander routinely review the effectiveness of daily physical security measures under THREATCON NORMAL per reference (b)?

NOTE: Employment of DOD standards contained in reference (b) become more applicable as Commanders prepare for and implement responses to increases in THREATCON levels. Effective THREATCON NORMAL procedures and associated daily physical security operations are the foundation for successful antiterrorism efforts.

11. Does the activity ATTO ensure all assigned personnel receive briefings prior to deploying or traveling outside the United States, its territories and possessions per reference (b)? Are the appropriate page 13 entries recorded in individual's service record per reference (b)?

NOTE: Family members should receive similar training prior to traveling outside the United States, its territories and possessions on official government orders.

12. Does the Commanding Officer encourage family members to receive Antiterrorism/Force Protection awareness training prior to any form of travel outside the United States, its territories and possessions per reference (b)?

COMMENTS:

1. This checklist is not all inclusive, but will assist the Security Officer and the ATTO in planning, implementing, enforcing and supervising the physical security and force protection program of the activity.

2. Table E1.1-1 of reference (b) describes required pre-deployment and Career Development AT/FP Training Requirements.

3. Appendix C of DOD 0-2000.12-H is an excellent instrument that can be used to develop or conduct physical security surveys for your installation.

4. Per CNO 211534Z Jan 00 the M-L-S-R Program has been eliminated, therefor no more M-L-S-R reporting is required. SECNAVINST 5500.4G is cancelled. The M-L-S-R requirement to report high-risk Arms, Ammo & Explosives losses is now a requirement of OPNAVINST 3100.6G, Special Incident Reporting (OPREP-3, NAVY BLUE, UNIT SITREP) procedures. OPNAVINST 3100.6G can be ordered from Navy Inventory Control Point, Philadelphia, stock # 0579LD0575210.

5. As a minimum, every Security Officer must have the following instructions available on CD or the internet:

   a. DODINST 2000.12 - DOD Combating Terrorism Program

   b. DODINST 0-2000.12-H - Protection of DOD Personnel and Activities Against Acts Of Terrorism And Political Turbulence

   c. DODINST 2000.16 - DOD Combating Terrorism Program Standards

   d. SECNAVINST 3300.2 - Combating Terrorism Program

    e. SECNAVINST 3300.55 - Navy Combating Terrorism Program Standards

    f. OPNAVINST 5530.14C - Navy Physical Security Manual

    g. COMNAVRESFORINST 5500 Series

INFORMATION TECHNOLOGY

IT-1   Information Systems Security

POC: REDCOM NW N6A

Ref: (a) COMNAVRESFORINST 5239.1A(Naval Reserve Information
            Systems Security Program)
        (b) NAVADMIN 045/99
        (c) OPNAVINST 5239.1B (Navy Information Assurance (IA)
            Program)
        (d) COMNAVRESFORINST 5239.2 (Policy for Electronic Mail)

Objective: To ensure Naval Reserve Activities (NRAs) have the
availability of reliable information and automated support
equipment for FTS and SELRES personnel to meet Commander, Naval
Reserve Force (COMNAVRESFOR) mission requirements and support.
All activities need to adequately protect AIS, networks, and
computer resources against accidental or intentional
destruction, unauthorized disclosure, denial of service, and
unauthorized modification.

Number of computers at NRA: _____
Number of FTS personnel assigned: _____
Percentage of computers to FTS: _____%
Number of Reserve Units assigned: _____
Percentage of computers assigned to units: _____%
Number of Reservists assigned to NRA: _____
Percentage of computers assigned to SELRES: _____%

IT Resources

1. Compile actual and percentage IT statistics and compare the
activity to the region's average.

2. Does the NRA have an accurate inventory of IT resources?

3. Number of workstations assigned to FTS personnel?

4. Number of FTS personnel with an email account?

5. Number of workstations assigned for Reserve Unit usage.

6. Does the activity have a learning resource center (space
with computers for group training)?

7. Are there adequate IT resources available for SELRES on their drill weekend? If not, what is required to improve the IT resources available for Drilling Reservist use at the activity?

Network Administration

1. Does the activity have a local area network?

2. What network operating system does the local area network use?

3. Has the network administrator received formal training on how to administer the command LAN?

4. Is the network administrator adequately trained to perform assigned tasks? If not, what training is required to improve the skills of the network administrator?

5. Has the command LAN administrator completed System Administrator Level I certification?

6. Does the command have a current LAN diagram?

Information System Security

1. Does the activity have either a current Information System Security Accreditation or a current Interim Authority to Operate (IATO)?

2. Is an Information Systems Security Manager (ISSM) assigned and designated in writing?

3. Has the Information System Security Manager received formal information system security training?

4. Number of Drilling Reservists that have completed information system security indoctrination per reference (b).

5. Number of FTS that have completed information system security indoctrination.

6. Do all servers and workstations have anti-virus software installed?

7. Is antivirus software configured for auto-update?

8. Does the command have a current Continuation of Operations Plan (COOP)?

9. Does the command have a process in place for data backup and recovery?

10. Are passwords being used when entering a system per reference (a)?

11. Is training being conducted as required by reference (c)?

12. Licensed software needs to be stowed in a secure location or controlled properly per reference (a)?

13. Are periodic (minimum annually) audits of AIS devices conducted to ensure that only authorized software is being used and that there is no unauthorized software duplication, distribution, or use (piracy) occurring within the area of responsibility per reference (a)?

14. Are E-mail accounts and operating procedures in compliance with reference (d)?

15. Review accreditation documents, including the activity AIS Security Plan, Contingency Plan, Risk Assessment, Letter of Accreditation and/or Interim Authority to Operate.

16. Review training records for AIS security staff and training records for command wide security awareness training.

17. Spot audits of PCs for controlled access protection measures, warning screens and unlicensed software.

MAINTENANCE AND MATERIAL MANAGEMENT

MM-1   Maintenance and Material Management (3-M)

POC: REDCOM NW N01A1

Ref: (a) OPNAVINST 4790.4C (Ship's 3-M Manual)
        (b) OPNAVINST 5100.23E CH-1 (CHAP 24) NAVOSH Manual
            (Lockout/Tag out)
        (c) COMNAVRESFORINST 4790.17F (NAVRES 3-M Procedures)
        (d) COMNAVSURFRESFORINST 4790.2B (RIMA Program)

Note. This section only applies to commands with Reserve
Intermediate Maintenance Activity (RIMA) sites.

Objective: To ensure policies and procedures are in place for
managing the maintenance and material of non-aviation equipment
and systems aboard NRAs under the cognizance of COMNAVRESFOR.

1.   Is a copy of the last 3-M assessment report available?

2.   Does the NRA have a command instruction discussing 3-M and
hold references (a) through (d) onboard?

3.   Are all maintenance personnel familiar with applicable safety
and HAZMAT procedures?

4.   Are the 3-M, RIMAC Coordinator, and Safety Petty Officer
designated and listed in the command's collateral duty notice?

5.   Are training sessions and PQS being properly documented for
maintenance personnel?

6.   Is the Material Safety Data Sheet (MSDS) (HAZMAT) master
manual available?

7.   Has the latest Semi-annual Force Revision (SFR) been
installed?

8.   Is the NRA using the latest version of SKED (2.1)?

9.   Is PMS scheduled per reference (a)?

10. Is a PMS 'RED TAG' system used and authorized by the
Commanding Officer?

11. Do Work Center Supervisors conduct daily inventories of
laminated tags?

12. Are the Spot-Check and Feed Back Report (FBR) logs being
appropriately reviewed?